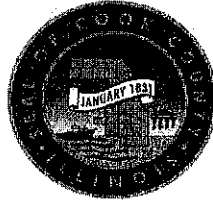# PROFESSIONAL SERVICES AGREEMENT

INTEGRATED HOME RULE TAX DISCOVERY SYSTEM

BETWEEN

COOK COUNTY GOVERNMENT
DEPARTMENT OF REVENUE

AND

REVENUE SOLUTIONS, INC. (RSI)

CONTRACT NO. 1525-15053

APPROVED BY BOARD OF
COOK COUNTY COMMISSIONERS

DEC 1 6 2015

Reference Agreement No. RFP 7003414 Data Warehouse System
Rhode Island Department of Taxation & RSI, October 2, 2007

PROFESSIONAL SERVICES AGREEMENT

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AGREEMENT

This Professional Services Agreement ("PSA" or "Agreement") is made and entered into by and between the County of Cook, a public body corporate of the State of Illinois, on behalf of Office of the Chief Procurement Officer hereinafter referred to as "County" and Revenue Solutions, Inc. (RSI), doing business as a corporation of the State of Massachusetts hereinafter referred to as "Consultant", pursuant to authorization by the Cook County Board of Commissioners on December 16, 2015 as evidenced by Board Authorization letter attached hereto as EXHIBIT "8".

BACKGROUND

Whereas, the County, pursuant to Section 34-140 (the "Reference Contract Ordinance") of the Cook County Procurement Code, states: "If a governmental agency has awarded a contract through a competitive method for the same or similar supplies, equipment, goods or services as that sought by the County, the Procurement may be made from that vendor at a price or rate at least as favorable as that obtained by that government agency without utilizing a competitive procurement method set forth in this Procurement Code;" and

Whereas, the Rhode Island Department of Administration, Division of Purchases issued a Request for Proposals for Tax Discovery (Data Warehouse) and associated Services ("Services") and the Consultant was identified as one of several qualified consultants to provide the services; and

Whereas, the State of Rhode Island, Department of Revenue, Division of Taxation, entered into a contract on October 2, 2007 for the provision of Services, a copy of the contract is attached hereto as Attachment 1 for reference purposes only, but the terms of the contract are not a made a part of or incorporated into this Agreement; and

Whereas, the County wishes to leverage the procurement efforts of the State of Rhode Island; and

Whereas, the County, through the Department of Revenue, desires certain similar services of the Consultant; and

Whereas, County Offices, Departments, and Agencies may utilize this Agreement for specific contracted procurement efforts; and

Whereas, the Consultant agrees to provide to the County the Services as set forth in Exhibit 1, Statement of Work; and

Whereas, the Consultant warrants that it is ready, willing and able to deliver the Services set forth in Exhibit 1, Statement of Work, all on pricing and payment terms equivalent to or more favorable to the County than those contained in the State of Rhode Island contract, as set forth in Attachment 1 and incorporated herein by reference; and

NOW, THEREFORE, in consideration of the mutual promises and covenants herein contained, the sufficiency of which is acknowledged by each of the Parties, the Consultant and the County agree that the information set forth above is incorporated by reference herein.

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

TERMS AND CONDITIONS

ARTICLE 1) INCORPORATION OF BACKGROUND

The Background information set forth above is incorporated by reference as if fully set forth here.

ARTICLE 2) DEFINITIONS

a) Definitions

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

"Accept" means a written determination by the County that a Deliverable, including all of its components, satisfies all applicable acceptance criteria, which must be demonstrated by successful completion of all acceptance testing procedures that are based upon testing criteria established by the Parties in accordance with this Agreement.

"Acceptance Criteria" means the measures against which Deliverables, Services, Software, and Equipment shall be evaluated and the grounds for the County's Acceptance or rejection thereof.

"Additional Services" means those services which are within the general scope of Services of this Agreement, but beyond the description of services required under Exhibit 1, Statement of Work, and all services reasonably necessary to complete the Additional Services to the standards of performance required by this Agreement. Any Additional Services requested by the Department require the approval of the Chief Procurement Officer in a written modification to this Agreement before Consultant is obligated to perform those Additional Services and before the County becomes obligated to pay for those Additional Services.

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

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

"Contract" means any written document to make Procurements by or on behalf of Cook County.

"Contract Compliance Director" or **"CCD"** means the County Contract Compliance Director.

"Consultant or Contractor" means the Person that enters into a Contract with the County.

"Defect" means a failure of the Deliverables to substantially conform to the functional descriptions set forth in the Statement of Work.

"Deliverable" means any work product, such as written reviews, recommendations, reports and analyses, produced by Contractor for the County.

"Employee" means any individual working on a full-time basis, and providing services for an Employer under a Contract. "Employees" shall not include workers required to be paid the prevailing wage pursuant to the Cook County Procurement Code. Cook County, Ill., Code pt.1, ch. 34, art. IV., div. 3, section 34-161.

"Employer" means any Person that employs one or more full-time Employees.

"Execution" means to sign a Contract, after it has been approved by the CPO or the Board, as required by the Procurement Code.

"Intellectual Property" means any inventions, discoveries, designs, processes, software, documentation, reports, and works of authorship, drawings, specifications, formulae, databases, algorithms, models, methods, techniques, technical data, discoveries, know how, trade secrets, and other technical proprietary information and all patents, copyrights, mask works, trademarks, service marks, trade names, service names, industrial designs, brand names, brand marks, trade dress rights, Internet domain name registrations, Internet web sites and corporate names, and applications for the registration or recordation of any of the foregoing.

"Key Personnel" means those job titles and the persons assigned to those positions in accordance with the provisions of this Agreement.

"Lobbyist" means any person or entity who undertakes to influence any legislation or administrative action on behalf of any person or entity other than: (1) a not-for-profit entity, on an unpaid basis, or (2), itself. "Lobbyist" also means any person or entity any part of whose duties as an employee of another includes undertaking to influence any legislative or administrative action. If the Contractor is uncertain whether a disclosure is required under this Section, the Contractor must either ask the County whether disclosure is required, or make the disclosure.

"Maintenance and Support Agreement" means the terms and conditions governing the provision of maintenance and support services to the County, specified in EXHIBIT 3.

"Reject" means the act of denying acceptance of a Deliverable in writing for failure to meet one or more requirements associated with the Deliverable.

"Risk Management Office" means the Cook County Risk Management Office, which is under the direction of the Director of Risk Management and is charged with reviewing and analyzing insurance and related liability matters for the County.

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

"Software" means the Contractor's Software and computer software, including source code, object, executable or binary code, comments, screens, user interfaces, data structures, data libraries, definition libraries, templates, menus, buttons and icons.

"System" means the entire solution, inclusive of all modules, configurations, and customization delivered by the Contractor.

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

"Third Party" means a legal entity, company or person that is not a Party to the Agreement and is not a Using Agency, Subcontractor, affiliate of a Party, or other entity, company or person controlled by a Party.

"Using Agency" shall mean the Cook County Department of Revenue.

b)   Interpretation

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

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

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

iv)   Any headings preceding the text of the Articles and Sections of this Agreement,

and any tables of contents or marginal notes appended to it are solely for convenience or reference and do not constitute a part of this Agreement, nor do they affect the meaning, construction or effect of this Agreement.

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

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

c)   **Incorporation of Exhibits; Order of Precedence**

The following attached Exhibits are made a part of this Agreement. This Contract shall be interpreted and construed based upon the following order of precedence. Such order of precedence shall govern to resolve all cases of conflict, ambiguity or inconsistency.

1. PSA
2. Exhibit 4   Cook County Information Technology Special Terms and Conditions (ITSCs)
3. Exhibit 3   RSI Software License and Maintenance Agreement (entered pursuant to Cook County Contract No. 1518-14681).
4. Exhibit 1   Statement of Work (SOW)
5. Exhibit 2   Schedule of Compensation
6. Exhibit 6   Minority and Women Owned Business Enterprise Commitment
7. Exhibit 5   Identification of Subcontractor/Supplier/Subconsultant
8. Exhibit 7   Evidence of Insurance
9. Exhibit 8   Board Authorization
10. Exhibit 9   Economic Disclosure Statement

ARTICLE 3) DUTIES AND RESPONSIBILITIES OF CONSULTANT

a)   **Scope of Services**

This description of Services is intended to be general in nature and is neither a complete description of Consultant's Services nor a limitation on the Services that Consultant is to provide under this Agreement. Consultant must provide the Services in accordance with the standards of performance set forth in Section 3c. The Services that Consultant must provide include those described in Exhibit 1, Statement of Work which is attached to this Agreement and incorporated by reference as if fully set forth here.

b)   **Deliverables**

In carrying out its Services, Consultant must prepare or provide to the County various Deliverables as specifically described in the Statement of Work. **"Deliverables"**

include work product, such as written reviews, recommendations, reports and analyses, produced by Consultant for the County.

The County may reject Deliverables that do not include relevant information or data, or do not include all documents or other materials specified in this Agreement or reasonably necessary for the purpose for which the County made this Agreement or for which the County intends to use the Deliverables. If the County determines that Consultant has failed to comply with the foregoing standards, it has ten (10) business days from the discovery to notify Consultant of its failure. If Consultant does not correct the failure within thirty (30) days after receipt of notice from the County specifying the failure, or as agreed to in writing by the parties, then the County, by written notice, may treat the failure as a default of this Agreement under Article 9.

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

c)   **Standard of Performance**

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

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

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

d) Personnel

i) Adequate Staffing

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

ii) Key Personnel

Consultant must not reassign or replace Key Personnel without the written consent of the County, which consent the County will not unreasonably withhold. "**Key Personnel**" means those job titles and the persons assigned to those positions in accordance with the provisions of this Section 3.d(ii). The Using Agency may at any time in writing notify Consultant that the County will no longer accept performance of Services under this Agreement by one or more Key Personnel listed. Upon that notice Consultant must immediately suspend the services of the key person or persons and must replace him or them in accordance with the terms of this Agreement. A list of Key Personnel is found in Exhibit 1, Statement of Work.

iii) Salaries and Wages

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

e) Minority and Women Owned Business Enterprises Commitment

In the performance of this Agreement, including the procurement and lease of materials or equipment, Consultant must abide by the minority and women's business enterprise commitment requirements of the Cook County Ordinance, (Article IV,

Section 34-267 through 272) except to the extent waived by the Compliance Director, which are set forth in Exhibit 6. Consultant's completed MBE/WBE Utilization Plan evidencing its compliance with this requirement are a part of this Agreement, in Form 1 of the MBE/WBE Utilization Plan, upon acceptance by the Compliance Director. Consultant must utilize minority and women's business enterprises at the greater of the amounts committed to by the Consultant for this Agreement in accordance with Form 1 of the MBE/WBE Utilization Plan.

f)   **Insurance**

Prior to the effective date of this Contract, the Contractor, at its cost, shall secure and maintain at all times, unless specified otherwise, until completion of the term of this Contract the insurance specified below.

Nothing contained in these insurance requirements is to be construed as limiting the extent of the Contractor's responsibility for payment of damages resulting from its operations under this Contract.

Contractor shall require all Subcontractors to provide the insurance required in this Agreement, or Contractor may provide the coverages for Subcontractors. All Subcontractors are subject to the same insurance requirements as Contractor except paragraph (f) Umbrella/Excess Liability or as specified otherwise.

The Cook County Department of Risk Management maintains the right to modify, delete, alter or change these requirements

    i)   **Coverage to be Provided**

          (1)   Workers Compensation and Employers Liability

Workers' Compensation shall be in accordance with the laws of the State of Illinois or any other applicable jurisdiction, and shall include Employers' Liability coverage with a limit of:
               $1,000,000 per Accident
               $1,000,000 per Employee
               $1,000,000 Policy Limit for Disease

          (2)   Commercial General Liability (Primary and Umbrella)

The Commercial General Liability shall be on an occurrence form basis (ISO Form CG 0001 or equivalent) to cover bodily injury, personal injury and property damage.

Each Occurrence	$ 1,000,000
General Aggregate	$ 2,000,000
Completed Operations Aggregate	$ 2,000,000

The General Liability policy shall include the following coverages:

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(a)   All premises and operations;
(b)   Contractual Liability;
(c)   Products/Completed Operations;
(d)   Severability of interest/separation of insureds clause

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

(3)   Commercial Automobile Liability Insurance (Primary and Umbrella)

When any vehicles are used in the performance of this contract, Contractor shall secure Automobile Liability Insurance for bodily injury and property damage arising from the Ownership, maintenance or use of owned, hired and non-owned vehicles with a limit no less than $1,000,000 per accident.

(4)   Professional Liability

Contractor shall secure Professional Liability insurance covering any and all claims arising out of the performance or nonperformance of professional services for the County under this Agreement.

This professional liability insurance shall remain in force for the life of the Contractor's obligations under this Agreement, and shall have a limit of liability of not less than $5,000,000 in the aggregate with a deductible of not more than $100,000. If any such policy is written on a claims made form, the retroactive date shall be prior to or coincident with the effective date of this contract. A claims-made policy which is not renewed or replaced must have an extended reporting period of 2 years.

Subconsultants performing Services for Consultant must maintain limits of not less than $1,000,000 with the same terms in this Section 3.i(4).

(5)   Valuable Papers

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

(6)   **Network Security and Privacy Liability (Primary and Excess)**

Contractor shall secure Network Security and Privacy Liability insurance covering any and all claims arising from network risks and disclosure of private information. This Network Security and Privacy Liability insurance shall remain in force for the life of the Contractor's obligations under this Agreement, and shall have a limit of liability of not less than $5,000,000 for Privacy Liability, Data Breach and Network Security Liability with a deductible of not more than $100,000. If any such policy is written on a claims made form, the retroactive date shall be prior to or coincident with the effective date of this contract. Claims made form coverage shall be maintained by the Contractor for a minimum of three years following the expiration or early termination of this contract and the Contractor shall annually provide the County with proof of renewal.

Subcontractors performing services for the Contractor must maintain limits of not less than $1,000,000 with the same terms in this section.

(7)   **Umbrella/Excess Liability**

Contractor shall secure coverage in excess of general liability, automobile liability, employers liability in the amount of a least $5,000,000 per occurrence.

Subcontractors performing services for the Contractor must maintain limits of not less than $1,000,000 with the same terms in this section.

ii)   **Additional requirements**

(1)   **Additional Insured**

Cook County, its officials, employees and agents shall be listed as additional insureds under the Commercial General Liability insurance, Commercial Automobile Liability, Network Security and Privacy Liability Insurance. The Commercial General Liability insurance shall be on a primary and non-contributory basis with any insurance or self-insurance programs maintained by the County. The full policy limits and scope of protection shall apply to Cook County as an additional insured even if they exceed the minimum insurance limits specified above.

(2)   **Qualification of Insurers**

All insurance companies providing coverage shall be licensed or approved by the Department of Insurance, State of Illinois, and shall have a financial rating no lower than (A-) VII as listed in A.M. Best's Key Rating Guide, current edition or interim report. Companies with

ratings lower than (A-) VII will be acceptable only upon written consent of the Cook County Department of Risk Management. The insurance limits required herein may be satisfied by a combination of primary, umbrella and/or excess liability insurance policies.

(3) **Insurance Notices**

Prior to the date on which Contractor commences performance of its part of the work, Contractor shall furnish to the Office of the Chief Procurement Officer certificates of insurance maintained by Contractor. The receipt of any certificate of insurance does not constitute agreement by the County that the insurance requirements have been fully met or that the insurance policies indicated on the certificate of insurance are in compliance with insurance required above.

Contractor shall provide the Office of the Chief Procurement Officer with thirty (30) days advance written notice in the event any required insurance will be cancelled, materially reduced or non-renewed. Contractor shall secure replacement coverage to comply with the stated insurance requirements and provide new certificates of insurance to the Office of the Chief Procurement Officer.

In no event shall any failure of the County to receive certificates of insurance required hereof or to demand receipt of such Certificates of Insurance be construed as a waiver of Contractor's obligations to obtain insurance pursuant to these insurance requirements.

(4) **Waiver of Subrogation Endorsements**

All insurance policies must contain a Waiver of Subrogation Endorsement in favor of Cook County.

ii) **Additional Requirements**

(1)   Consultant must furnish the County of Cook, Cook County, Office of the
Chief Procurement Officer, 118 N, Clark St., Room 1018, Chicago, IL 60602, original Certificates of Insurance, or such similar evidence, to be in force on the date of this Agreement, and Renewal Certificates of Insurance, or such similar evidence, if the coverages have an expiration or renewal date occurring during the term of this Agreement. Consultant must submit evidence of insurance on the County Insurance Certificate Form (copy attached as Exhibit 7) or equivalent prior to the effective date of the Agreement. The receipt of any certificate does not constitute agreement by the County that the

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

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

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

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

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

(6)   The County's Risk Management Office maintains the rights to modify, delete, alter or change these requirements.

g)   Indemnification

The Consultant covenants and agrees to indemnify and save harmless the County and its commissioners, officials, employees, agents and representatives, and their respective heirs, successors and assigns, from and against any and all reasonable costs, expenses, attorney's fees, losses, damages and liabilities incurred or suffered directly or indirectly from or attributable to any claims arising out of or incident to the willful, intentional or negligent performance or nonperformance of the Contract by the Consultant, or the willful, intentional or negligent acts or omissions of the officers, agents, employees, Consultants, subconsultants, licensees or invitees of the Consultant. The Consultant expressly understands and agrees that any Performance Bond or insurance protection required of the Consultant, or otherwise provided by the Consultant, shall in no way limit the responsibility to indemnify the County as hereinabove provided.

Intellectual Property Infringement Indemnification

(1) Contractor will defend the County against any third party claim(s) that the Software infringes that third party's patent, copyright, or trademark, or misappropriates its trade secrets, and will pay the amount of any resulting adverse final judgment (or settlement to which Contractor consents). The County will notify the Contractor promptly in writing of the claim and give Contractor sole control over its defense or settlement. The County agrees to provide the Contractor with reasonable assistance, cooperation, and information in defending the claim at Contractor's expense.

(2) Contractor's obligation to indemnify the County for claims set forth in (1) above, will not apply to the extent the claim or adverse final judgment is based upon: (a) the County's use of a previous version of Contractor's Software and the claim would have been avoided if the County had installed and used the current version of the Contractor's Software; (b) combining the Contractor's Software with any Software not approved by Contractor; (c) altering or modifying the Contractor Software, including any modification by third parties at the County's direction or otherwise permitted by the County; (d) use of the Contractor's Software in contradiction of this Agreement, including with non-licensed third parties; or (e) willful infringement, including the use of the Contractor Software after it notifies the County to discontinue use due to such as a claim.

(3) If Contractor receives information concerning an infringement or misappropriation claim related to the Software, then Contractor will, at its expense, either (a) procure for the County the right to continue its use; (b) modify it to make it non-infringing; or (c) replace it with a functional equivalent, in which case the County will stop running the allegedly infringing Software immediately.

(4) If, as a result of an infringement or misappropriation claim, the County's use of the Software is enjoined by a court of competent jurisdiction, in addition to paying any adverse final judgment (or settlement to which the Contractor consents), the Contractor will either (a) procure the right to continue its use; (b) modify it to

make it non-infringing; (c) replace it with a functional equivalent; or (d) terminate the County's license and refund the fees paid for the infringing Software.

h)   Confidentiality and Ownership of Documents

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

All documents, data, studies, reports, work product or product created solely for the County as a result of the performance of the Contract (the "Documents") shall be included in the Deliverables and shall be the property of the County. Pre-existing materials developed by the Consultant, inclusive of its Revenue Premier products, shall remain property of the Consultant and are licensed for use by the County. It shall be a breach of this Contract for the Consultant to reproduce or use any documents, data, studies, reports, work product or product obtained from the County or any Documents created hereby, whether such reproduction or use is for Consultant's own purposes or for those of any third party. During the performance of the Contract Consultant shall be responsible of any loss or damage to the Documents while they are in Consultant's possession, and any such loss or damage shall be restored at the expense of the Consultant. The County and its designees shall be afforded full access to the Documents and the work at all times.

i)   Patents, Copyrights and Licenses

If applicable, Consultant shall furnish the Chief Procurement Officer with all licenses required for the County to utilize any software, including firmware or middleware, provided by Consultant as part of the Deliverables. Such licenses shall be clearly marked with a reference to the number of this County Contract. Consultant shall also furnish a copy of such licenses to the Chief Procurement Officer. Unless otherwise stated in these Contract documents, such licenses shall be perpetual and shall not limit the number of persons who may utilize the software on behalf of the County.

j)   Examination of Records and Audits

The Consultant agrees that the Cook County Auditor or any of its duly authorized representatives shall, until expiration of three (3) years after the final payment under

the Contract, have access and the right to examine any books, documents, papers, canceled checks, bank statements, purveyor's and other invoices, and records of the Consultant related to the Contract, or to Consultant's compliance with any term, condition or provision thereof. The Consultant shall be responsible for establishing and maintaining records sufficient to document the costs associated with performance under the terms of this Contract.

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

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

To the extent this Contract pertains to Deliverables which may be reimbursable under the Medicaid or Medicare Programs, Consultant shall retain and make available upon request, for a period of four (4) years after furnishing services pursuant to this Agreement, the contract, books, documents and records which are necessary to certify the nature and extent of the costs of such services if requested by the Secretary of Health and Human Services or the Comptroller General of the United States or any of their duly authorized representatives.

If Consultant carries out any of its duties under the Agreement through a subcontract with a related organization involving a value of cost of $10,000.00 or more over a 12 month period, Consultant will cause such subcontract to contain a clause to the effect that, until the expiration of four years after the furnishing of any service pursuant to said subcontract, the related organization will make available upon request of the Secretary of Health and Human Services or the Comptroller General of the United States or any of their duly authorized representatives, copies of said subcontract and any books, documents, records and other data of said related organization that are necessary to certify the nature and extent of such costs. This paragraph relating to the retention and production of documents is included because of possible application of Section 1861(v)(1)(I) of the Social Security Act to this Agreement; if this Section should be found to be inapplicable, then this paragraph shall be deemed inoperative and without force and effect.

k) Subcontracting or Assignment of Contract or Contract Funds

Once awarded, this Contract shall not be subcontracted or assigned, in whole or in part,

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

Prior to the commencement of the Contract, the Consultant shall identify in writing to the Chief Procurement Officer the names of any and all Subcontractors it intends to use in the performance of the Contract by completing the Identification of Subcontractor/Supplier/ Subconsultant Form ("ISF"). The Chief Procurement Officer shall have the right to disapprove any Subcontractor. All Subcontractors shall be subject to the terms of this Contract. Consultant shall incorporate into all subcontracts all of the provisions of the Contract which affect such subcontract. Copies of subcontracts shall be provided to the Chief Procurement Officer upon request.

The Consultant must disclose the name and business address of each Subcontractor, attorney, lobbyist, accountant, consultant and any other person or entity whom the Consultant has retained or expects to retain in connection with the Matter, as well as the nature of the relationship, and the total amount of the fees paid or estimated to be paid. The Consultant is not required to disclose employees who are paid or estimated to be paid. The Consultant is not required to disclose employees who are paid solely through the Consultant's regular payroll. If the Consultant is uncertain whether a disclosure is required under this Section, the Consultant must either ask the County whether disclosure is required or make the disclosure.

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

ARTICLE 4) TERM OF PERFORMANCE

a)   Term of Performance

This Agreement takes effect when approved by the Cook County Board and its term shall begin on **1/1/2016** (**"Effective Date"**) and continue until **12/31//2018** or until this Agreement is terminated in accordance with its terms, whichever occurs first. County may renew the contract for up to five (5) additional one-year periods thereafter in accordance with Section 4(c) below.

b)   Timeliness of Performance

i)   Consultant must provide the Services and Deliverables within the term and within the time limits required under this Agreement, pursuant to the provisions of Section 4.a and Exhibit 1. Further, Consultant acknowledges that TIME IS OF THE ESSENCE and that the failure of Consultant to comply with the time limits described in this Section 4.b may result in economic or other losses to the County.

ii)   Neither Consultant nor Consultant's agents, employees nor Subcontractors are entitled to any damages from the County, nor is any party entitled to be reimbursed by the County, for damages, charges or other losses or expenses incurred by Consultant by reason of delays or hindrances in the performance of the Services, whether or not caused by the County. County will accept reasonable adjustments in the schedule of performance of Services where delays or hindrances are caused by County. If County causes a delay that will extend the overall timeline of the project, not the timeline for a specific Deliverable or Service, more than sixty (60) days but less than one hundred eighty (180) days from the date specified in the SOW, Exhibit 1, then Consultant may charge, through the change order process, County for costs attributable to such delay. The cumulative costs charged by Consultant under this Section for a delay and under Cook County Contract No. 1518-14681, Article 4, Section (b) may not exceed a total of $200,000 for all such charges. If County causes a delay that will extend the overall timeline of the project, not the timeline for a specific Deliverable or Service, more than one hundred eighty (180) days from the date specified in the SOW, Exhibit 1, then Consultant may charge County for costs attributable to such delay by following the change management/change order process set out in the SOW, subject to County Board approval of any such change order.

c)   Agreement Extension Option

The Chief Procurement Officer may at any time before this Agreement expires elect to renew this Agreement for up to five (5) additional one-year periods under the same terms and conditions as this original Agreement, except as provided otherwise in this Agreement, by notice in writing to Consultant. After notification by the Chief Procurement Officer, this Agreement must be modified to reflect the time extension in accordance with the provisions of this Section.

ARTICLE 5) COMPENSATION

a)   Basis of Payment

The County will pay Consultant according to the Schedule of Compensation in the attached Exhibit 2 for the successful completion of services. Consultant shall provide the Deliverables at the fixed costs set forth in this Agreement, not to exceed the contract amount of $1,819,067 (excluding any renewal options) as further detailed in Exhibit 2. Any Additional Services or Deliverables requested by the County and provided by Consultant beyond those specifically detailed in this Agreement must be approved by the County in accordance with its procedures for amendments and change orders,

including the procedures described in Article 10.c of this Agreement.

b)   **Method of Payment**

All invoices submitted by the Consultant shall be in accordance with the cost provisions contained in the Agreement and shall contain a detailed description of the Deliverables, including the quantity of the Deliverables, for which payment is requested. All invoices for services shall include itemized entries indicating the date or time period in which the services were provided, the amount of time spent performing the services, and a detailed description of the services provided during the period of the invoice. All invoices shall reflect the amounts invoiced by and the amounts paid to the Consultant as of the date of the invoice. Invoices for new charges shall not include "past due" amounts, if any, which amounts must be set forth on a separate invoice. The County will pay such invoices within forty-five (45) days, provided however, Consultant shall not be entitled to invoice the County for any late fees or other penalties in the event payment is not made within forty-five (45) days. The parties agree that claims related to late payments will not be considered disputes under Article 6.

In accordance with Section 34-177 of the Cook County Procurement Code, the County shall have a right to set off and subtract from any invoice(s) or Contract price, a sum equal to any fines and penalties, including interest, for any tax or fee delinquency and any debt or obligation owed by the Consultant to the County.

The Consultant acknowledges its duty to ensure the accuracy of all invoices submitted to the County for payment. By submitting the invoices, the Consultant certifies that all itemized entries set forth in the invoices are true and correct. The Consultant acknowledges that by submitting the invoices, it certifies that it has delivered the Deliverables, i.e., the goods, supplies, services or equipment set forth in the Agreement to the Using Agency, or that it has properly performed the services set forth in the Agreement. The invoice must also reflect the dates and amount of time expended in the provision of services under the Agreement. The Consultant acknowledges that any inaccurate statements or negligent or intentional misrepresentations in the invoices shall result in the County exercising all remedies available to it in law and equity including, but not limited to, a delay in payment or non-payment to the Consultant, and reporting the matter to the Cook County Office of the Independent Inspector General.

When a Consultant receives any payment from the County for any supplies, equipment, goods, or services, it has provided to the County pursuant to its Agreement, the Consultant must make payment to its Subcontractors within 15 days after receipt of payment from the County, provided that such Subcontractor has satisfactorily provided the supplies, equipment, goods or services in accordance with the Contract and provided the Consultant with all of the documents and information required of the Consultant. The Consultant may delay or postpone payment to a Subcontractor when the Subcontractor's supplies, equipment, goods, or services do not comply with the requirements of the Contract, the Consultant is acting in good faith, and not in retaliation for a Subcontractor exercising legal or contractual rights.

c) **Funding**

The source of funds for payments under this Agreement is identified in Exhibit 2, Schedule of Compensation. Payments under this Agreement must not exceed the dollar amount shown in Exhibit 2 without a written amendment in accordance with Section 10.c.

d) **Non-Appropriation**

If no funds or insufficient funds are appropriated and budgeted in any fiscal period of the County for payments to be made under this Agreement, then the County will notify Consultant in writing of that occurrence, and this Agreement will terminate on the earlier of the last day of the fiscal period for which sufficient appropriation was made or whenever the funds appropriated for payment under this Agreement are exhausted. Payments for Services completed to the date of notification, and a percentage complete for work-in-process will be made to Consultant, not to exceed the amount of funds appropriated. No payments will be made or due to Consultant and under this Agreement beyond those amounts appropriated and budgeted by the County to fund payments under this Agreement.

e) **Taxes**

Federal Excise Tax does not apply to materials purchased by the County by virtue of Exemption Certificate No. 36-75-0038K. Illinois Retailers' Occupation Tax, Use Tax and Municipal Retailers' Occupation Tax do not apply to deliverables, materials or services purchased by the County by virtue of statute. The price or prices quoted herein shall include any and all other federal and/or state, direct and/or indirect taxes which apply to this Contract. The County's State of Illinois Sales Tax Exemption Identification No. is E-9998-2013-07.

f) **Price Reduction**

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

g) **Consultant Credits**

To the extent the Consultant gives credits toward future purchases of goods or services, financial incentives, discounts, value points or other benefits based on the purchase of the materials or services provided for under this Contract, such credits belong to the

County and not any specific Using Agency. Consultant shall reflect any such credits on its invoices and in the amounts it invoices the County.

ARTICLE 6) DISPUTES

Any dispute arising under the Contract between the County and Consultant shall be resolved in accordance with the policies of the Chief Procurement Officer. The complaining party shall submit a written statement detailing the dispute and specifying the specific relevant Contract provision(s) to the Chief Procurement Officer. Upon request of the Chief Procurement Officer, the party complained against shall respond to the complaint in writing within five (5) days of such request. The Chief Procurement Officer will reduce his/her decision to writing and mail or otherwise furnish a copy thereof to the Consultant. Dispute resolution as provided herein shall be a condition precedent to any other action at law or in equity. However, unless a notice is issued by the Chief Procurement Officer indicating that additional time is required to review a dispute, the parties may exercise their contractual remedies, if any, if no decision is made within sixty (60) days following notification to the Chief Procurement Officer of a dispute. No inference shall be drawn from the absence of a decision by the Chief Procurement Officer. The parties agree that with respect to matters pertaining only to the payment of an invoice submitted by Consultant, the provisions of Article 5(b) relating to method of payment shall apply and the dispute resolutions terms of this Article 6 shall not be applicable.

Notwithstanding a dispute, Consultant shall continue to discharge all its obligations, duties and responsibilities set forth in the Contract during any dispute resolution proceeding unless otherwise agreed to by the County in writing.

ARTICLE 7) COOPERATION WITH INSPECTOR GENERAL AND COMPLIANCE WITH ALL LAWS

The Consultant, Subcontractor, licensees, grantees or persons or businesses who have a County contract, grant, license, or certification of eligibility for County contracts shall abide by all of the applicable provisions of the Office of the Independent Inspector General Ordinance (Section 2-281 et. seq. of the Cook County Code of Ordinances). Failure to cooperate as required may result in monetary and/or other penalties.

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

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

ARTICLE 8) SPECIAL CONDITIONS

a) **Warranties and Representations**

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

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

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

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

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

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

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

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

b) **Ethics**

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

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

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

c)   Joint and Several Liability

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

d)   Business Documents

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

e)   Conflicts of Interest

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

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

iii)   Upon the request of the County, Consultant must disclose to the County its past client list and the names of any clients with whom it has an ongoing relationship. Consultant is not permitted to perform any Services for the County on applications or other documents submitted to the County by any of

Consultant's past or present clients. If Consultant becomes aware of a conflict, it must immediately stop work on the assignment causing the conflict and notify the County.

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

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

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

f)   **Non-Liability of Public Officials**

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

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

a)   Events of Default Defined

The following constitute events of default:

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

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

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

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

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

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

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

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

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

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

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

b)   Remedies

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

The Chief Procurement Officer will give Consultant written notice of the default, either in the form of a cure notice ("**Cure Notice**"), or, if no opportunity to cure will be granted, a default notice ("**Default Notice**"). If the Chief Procurement Officer gives a Default Notice, he will also indicate any present intent he may have to terminate this Agreement, and the decision to terminate (but not the decision <u>not</u> to terminate) is final and effective upon giving the notice. The Chief Procurement Officer may give a Default Notice if Consultant fails to affect a cure within the cure period given in a Cure Notice. When a Default Notice with intent to terminate is given as provided in this Section 9.b and Article 11, Consultant must discontinue any Services, unless otherwise directed in the notice, and deliver all materials accumulated in the performance of this Agreement, whether completed or in the process, to the County. After giving a Default Notice, the County may invoke any or all of the following remedies (without duplication):

i) The right to take over and complete the Services, or any part of them, at Consultant's expense and as agent for Consultant, either directly or through others. County shall bill Consultant for the cost of completing such Services in the following manner: i) If County has paid Consultant for some or all of the Services prior to invoking this remedy, then Consultant shall reimburse County for the amount already paid to Consultant by County ("Services Payment") plus up to ten percent (10%) of any amount over the total Services Payment which County incurs to complete the Services either directly or through another vendor, or ii) If County has not made any payments to Consultant under this Contract prior to invoking this remedy, then Consultant shall pay County up to ten percent (10%) of any amount in excess of the contract amount of this Agreement which County incurs to complete the Services either directly or through another vendor.;

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

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

iv) The right to money damages;

v) The right to withhold all or any part of Consultant's compensation under this Agreement;

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

If the Chief Procurement Officer considers it to be in the County's best interests, he may elect not to declare default or to terminate this Agreement. The parties acknowledge that this provision is solely for the benefit of the County and that if the County permits Consultant to continue to provide the Services despite one or more events of default, Consultant is in no way relieved of any of its responsibilities, duties or obligations under this Agreement, nor does the County waive or relinquish any of its rights.

The remedies under the terms of this Agreement are not intended to be exclusive of any other remedies provided, but each and every such remedy is cumulative and is in addition to any other remedies, existing now or later, at law, in equity or by statute. No delay or omission to exercise any right or power accruing upon any event of default impairs any such right or power, nor is it a waiver of any event of default nor acquiescence in it, and every such right and power may be exercised from time to time and as often as the County considers expedient.

c)   **Early Termination**

In addition to termination under Sections 9.a and 9.b of this Agreement, the County may terminate this Agreement, or all or any portion of the Services to be performed under it, at any time by a notice in writing from the County to Consultant. The County will give a thirty (30) day notice to Consultant in accordance with the provisions of Article 11. The effective date of termination ("Early Termination Effective Date") will be thirty (30) days after the notice is received by Consultant or the date stated in the notice, whichever is later. If the County elects to terminate this Agreement in full, all Services to be provided under it must cease and all materials that may have been accumulated in performing this Agreement, whether completed or in the process, must be delivered to the County by the Early Termination Effective Date. In the event of early termination, Consultant will be paid for all deliverables completed and accepted prior to the Early Termination Effective Date and on a prorated basis the percentage completed for those deliverables in process.

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

with Article 6 of this Agreement. The payment so made to Consultant is in full settlement for all Services satisfactorily performed under this Agreement.

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

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

d)   Suspension

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

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

e)   Right to Offset

In connection with performance under this Agreement, the County may offset any excess costs incurred:

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

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

iii)   If the County has any credits due or has made any overpayments under this

Agreement.

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

f)   Intentionally omitted.

g)   Prepaid Fees

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

h)   Incurred Expenses

The County will make payment to the Contractor for all undisputed products, services and expenses delivered and accepted prior to the effective date of termination. No costs incurred after the effective date of the termination are allowed. Payment for any Services actually and satisfactorily performed before the effective date of the termination is on the same basis as set forth in Article 5, but if any compensation is described or provided for on the basis of a period longer than ten (10) days, then the compensation must be prorated accordingly. No amount of compensation, however, is permitted for anticipated profits on unperformed Services. The County and Contractor must attempt to agree on the amount of compensation to be paid to Contractor, but if not agreed on, the dispute must be settled in accordance with Article 6 of this Agreement. The payment so made to Contractor is in full settlement for all Services satisfactorily performed under this Agreement.

ARTICLE 10)   GENERAL CONDITIONS

a)   Entire Agreement

    i)   General

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

ii)   **No Collateral Agreements**

Consultant acknowledges that, except only for those representations, statements or promises expressly contained in this Agreement and any exhibits attached to it and incorporated by reference in it, no representation, statement or promise, oral or in writing, of any kind whatsoever, by the County, its officials, agents or employees, has induced Consultant to enter into this Agreement or has been relied upon by Consultant, including any with reference to:

(a)   The meaning, correctness, suitability or completeness of any provisions or requirements of this Agreement;

(b)   The nature of the Services to be performed;

(c)   The nature, quantity, quality or volume of any materials, equipment, labor and other facilities needed for the performance of this Agreement;

(d)   The general conditions which may in any way affect this Agreement or its performance;

(e)   The compensation provisions of this Agreement; or

(f)   Any other matters, whether similar to or different from those referred to in (a) through (e) immediately above, affecting or having any connection with this Agreement, its negotiation, any discussions of its performance or those employed or connected or concerned with it.

iii)   **No Omissions**

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

b)   **Counterparts**

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

c)   Purchase Order

In the event of any conflict between the terms and conditions of this Agreement and the terms and conditions of any purchase order, request for proposals, or invitation to bid, the terms and conditions of this Agreement shall control.

d)   Contract Amendments

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

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

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

Consultant is hereby notified that, except for amendments which are made in accordance with this Section10.c. Contract Amendments, no Using Agency or employee thereof has authority to make any amendment to this Contract.

e)   Governing Law and Jurisdiction

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

f)   Severability

If any provision of this Agreement is held or considered to be or is in fact invalid, illegal, inoperative or unenforceable as applied in any particular case in any jurisdiction or in all cases because it conflicts with any other provision or provisions

of this Agreement or of any constitution, statute, ordinance, rule of law or public policy, or for any other reason, those circumstances do not have the effect of rendering the provision in question invalid, illegal, inoperative or unenforceable in any other case or circumstances, or of rendering any other provision or provisions in this Agreement invalid, illegal, inoperative or unenforceable to any extent whatsoever. The invalidity, illegality, inoperativeness or unenforceability of any one or more phrases, sentences, clauses or sections in this Agreement does not affect the remaining portions of this Agreement or any part of it.

g) **Assigns**

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

h) **Cooperation**

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

i) **Waiver**

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

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

j) **Independent Consultant**

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

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

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

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

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

k) Governmental Joint Purchasing Agreement

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

In the event that other agencies participate in a joint procurement, the County reserves the right to renegotiate the price to accommodate the larger volume.

l) Comparable Government Procurement

As permitted by the County of Cook, other government entities, if authorized by law, may wish to purchase the goods, supplies, services or equipment under the same terms and conditions contained in this Contract (i.e., comparable government procurement). Each entity wishing to reference this Contract must have prior authorization from the County of Cook and the Consultant. If such participation is authorized, all purchase orders will be issued directly from and shipped directly to the entity requiring the goods, supplies, equipment or services supplies/services. The County shall not be held responsible for any orders placed, deliveries made or payment for the goods, supplies, equipment or services supplies/services ordered by these entities. Each entity reserves the right to determine the amount of goods, supplies, equipment or services it wishes to purchase under this Contract.

m) Force Majeure

Neither Consultant nor County shall be liable for failing to fulfill any obligation under this Contract if such failure is caused by an event beyond such party's reasonable

control and which is not caused by such party's fault or negligence. Such events shall be limited to acts of God, acts of war, fires, lightning, floods, epidemics, or riots.

n)   Limitation of Liability; Inapplicability of Limitations

EXCEPT FOR INAPPLICABILITY OF LIMITATIONS PROVISION DESCRIBED HEREIN, the Consultant's total liability arising out of or in any manner connected with or relating to this Contract and County's use or inability to use any of the products or services provided under this Contract shall not exceed, in the aggregate, the total fees paid to Consultant under this Contract.

o)   Inapplicability of Limitation on Liability

Notwithstanding the foregoing section, the limitation of liability and exclusion of damages provided therein shall not apply (i) with respect to Consultant's breach of the confidentiality, security or data protection obligations set forth herein, (ii) to damages payable for bodily injury or wrongful death, (iii) damages for violation of intellectual property rights, (iv) to damages for fraud, willful misconduct, criminal acts or gross negligence, (v) to damages for Consultant's or a Consultant's subcontractor's failure to comply with its obligations regarding laws under this Agreement, and (vi) to Consultant's wrongful withholding of the County's confidential information.

p)   Indirect Damages

Except for an unauthorized disclosure of confidential information and infringement/misappropriation of Intellectual Property, Consultant shall not be liable for consequential, incidental, indirect, special, exemplary and/or punitive damages, including lost profits or loss of business, lost goodwill, regardless of the form of the action or the theory of recovery, even if advised of the possibility of such damages and regardless of the form in which any action is brought.

q)   Publicity; Advertising

County understands and acknowledges that Consultant intends to include County's name in a list of Clients using Consultant's software which list may be used in proposals, advertisements, brochures and included on Consultant's Web site. County hereby consents to such use.

ARTICLE 11)   NOTICES

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

If to the County: Department of Revenue
                     118 N. Clark Street, Room 1160
                     Chicago, Illinois 60602
                     Attention: Department Director

and

                     Cook County Chief Procurement Officer
                     118 North Clark Street. Room 1018
                     Chicago, Illinois 60602
                     (Include County Contract Number on all notices)

If to Consultant: Revenue Solutions, Inc. (RSI)
                     42 Winter Street
                     Pembroke, MA 02359
                     Attention: Christopher L. Barlow, CFO
                     Email: CBarlow@RSImail.com
                     Fax: (781) 826-1324

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

ARTICLE 12)   AUTHORITY

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

EXHIBIT 1

STATEMENT OF WORK (SOW)

Exhibit 1- Statement of Work

Cook County Department of Revenue

ITPS Tax Discovery Project

TABLE OF CONTENTS

1.0 INTRODUCTION

1.1 Document Purpose

This Statement of Work (SOW) details the specific tasks that Consultant will undertake during the *Integrated Tax Processing Solution (ITPS) Project* for added Tax Discovery functionality, and is in partnership with the County.

The SOW provides an explanation of the specific work to be performed, assigns responsibilities for the work to be performed, and outlines the costs of the work to the County by deliverable for Tax Discovery functionality.

1.2 Project Overview

The ITPS project is a Reference Project, based on:

- The Professional Services Agreement ("PSA" or "Contract"), including this Exhibit 1 and Exhibits 2-9 as set forth in the PSA.

- The State of Rhode Island Division of Taxation (DOT), RFP #7003414 Data Warehouse released 5/1/2007 with published addenda.

- RSI submitted competitive proposals dated May 4, 2007, respectively.

- The procurement was competitively scored and awarded to RSI over other vendors.

- The DOT contracts were agreed upon and executed between RSI and the Rhode Island Department or Revenue, Division of Taxation on October 2, 2007, respectively.

It is understood that this engagement is also a reference project based on a separate Rhode Island Department of Revenue agreement referenced by the Contract. It is also understood that Revenue Premier and supporting software necessary for this project has been licensed according to the terms of Contract No. 1518-14681.

1.2.1 Project Background & Goals

The Department of Revenue collects and administers Cook County home rule taxes and a variety of fees. The scope of collections includes alcoholic beverages, amusement, cigarette, gasoline and diesel fuel, new motor vehicle, parking, use and wheel taxes, cable television franchise fees, health insurance, lost ID fees, IBID payments and off-track betting fees, as well as fees for Building and Zoning, Environmental Control and Real Estate Management. Additionally, The Department audits and maintains delinquent property tax records and also researches and proposes new revenue sources for the County.

As articulated in the Request for Vendor Reference Proposal and our discussions with Cook County to date, the County seeks ways to: (1) improve operational efficiency, (2) deliver better customer service, (3) increase revenue collections, (4) increase voluntary compliance, and (5) remove the risk of antiquated systems that are expensive and difficult to support. Table 1-1 below describes how the RSI

solution meets the County's nine goals described in the Integrated Tax Processing System RFP and Tax Discovery.

Table 1-1: How RSI Meets the County's Goals and Objectives for ITPS

County Goal	Revenue Premier Software Modules or Solution Component	RSI Approach
A. Fully integrated accounting system with comprehensive revenue accounting, internal and external financial reporting.	Integrated Tax Processor – Taxpayer Accounting and Revenue Accounting submodules	Developed for revenue agencies by revenue experts, the system works from a single book of record and "one version of the truth." Extensive financial reporting provided "out of the box" with training on reporting tool provided to County staff.
B. Comprehensive Case Management System that can be used independently by various County business units including for example, Audit, Collections, Hearings and Appeals, Legal, etc.	Revenue Premier Case Management Shared Service	Revenue Premier uses a single case management system across all disciplines, i.e., Collections, Audit, Hearings, Customer Service and Exception Processing. Extensions to the case system are provided for special needs, such as in Audit and Collections. Only those users with a profile to access their appropriate cases can do so.
C. Comprehensive workflow management system that tracks, manages, and reports all work entered in the ITPS including exception tracking and exception reporting to facilitate management of County core functions.	Revenue Premier Workflow Shared Service	A comprehensive, single workflow system manages work across case types and case subtypes. Work can "pushed" or "pulled" depending on need. Profiles and Roles also determine what work is presented to each staff member.
D. Comprehensive registration system that minimizes data entry and redundancy.	Integrated Tax Processor – Entity Identification and Taxpayer Portal	Registrations for all taxes are combined in single entity. Registrations can be initiated, updated and fees collected all through the Taxpayer Portal. The County can choose to accept and process paper filings, scan them in locally, so they are part of taxpayer account.
E. Generally Accepted Accounting Principles (GAAP) compliant taxpayer (return and payment, billing and refund processing).	Integrated Tax Processor Module	Revenue Premier was designed by Revenue experts for Revenue Agencies. The system is GAAP compliant, and the system maintains complete audit trail of all filings, payments, refunds, penalty & interest, and adjustments. Taxpayers can see their account history on the portal.
F. Integrated correspondence generation and tracking system.	Correspondence Module Shared Service	Pitney-Bowes EngageOne is the correspondence engine supporting Revenue Premier. RSI tests new releases of EngageOne and includes the certified upgrades with Revenue Premier.
G. Integrated report writer for standard and ad hoc reports	Business Intelligence/Analytics Framework	The solution includes licenses for Microsoft SQL Server Reporting Services –

County Goal	Revenue Premier Software Modules or Solution Component	RSI Approach
(or a separate ad hoc report writer).		integrated in the Revenue Premier offering. RSI will train County staff on how to use the tool along with understanding the database schema. Standard reports are provided with the system. There is also a built-in query capability for the specialized needs in Audit Selection. The County will be provide licenses for Microsoft SQL Server, which shall include the Reporting Services.
H. Reengineered business processes for improved operational practices.	RSI's proposed Consulting Services, which include training, mentoring and knowledge transfer	RSI will work with the County to assess and reengineer business practices, and make suggestions for improvement. Together, we will tailor Revenue Premier's business rules and workflow to support these new approaches. This activity is considered part of the training and knowledge transfer scope of work.
I. Revenue recovery that leads to increased revenues through system automation and compliance.	Revenue Premier Analytics, Audit and Collections Case Mgmt., enabled by RSI Consulting	RSI will implement two (2) compliance programs (one alongside each major Release), and implement a data-driven model for either Collections or Audit. RSI will bring ideas and proven methods from our work in other agencies that will increase revenues. The specific scope of each compliance program will be determined and agreed upon project launch.

1.2.2 Intention of the Parties

The following intentions shall be considered by the parties in performing their respective obligations under this Statement of Work:

- This SOW articulates the specific objective and requirements of the Tax Discovery solution, as well as how the parties will work together to achieve those objectives and requirements. The parties acknowledge that this SOW does not convey every possible scenario which may occur, and the parties agree to work in good faith to resolve issues, and barriers as they arise.

- The parties intend to jointly meet stated objectives such that the solution can be reasonably operated and maintained by County with a reasonable level of support staff.

- The parties intend to form a unified team comprised of County and RSI staff to achieve project goals and objectives by assigning staff of the appropriate level to the appropriate positions.

- The parties intend to openly communicate their requirements, make special efforts to understand the requirements of each other, consider the capabilities of the other party, and strive to meet their respective obligations under this SOW.

- The parties intend to promote a cooperative relationship in which any conflicts that arise continue to be resolved amicably between the parties.

- The parties are committed to a collaborative business relationship that continues to evolve over time and continues to produce measurable results in accordance with the project goals in an environment of integrity, ethics, and trust.

2.0 PROJECT SCOPE, TASKS, AND DELIVERABLES

2.1 Introduction

The ITPS Project contains a set of specific tasks and interim deliverables aimed at achieving the project goals, listed above. The sections below outline the high-level activities for the Tax Discovery implementation tasks to be conducted during the execution of the project. Each activity and deliverable has a description of goals and approach (to be clarified at the outset of each deliverable by County stakeholders) specific content/scope points, assumptions, and a breakdown of responsibilities.

2.2 Project Plan and Project Startup Activities

The proposed high-level implementation plan, reflected in a Gantt chart/roadmap is provided in Appendix A of this document. It shows the high-level time span for each major initiative and deliverable. As an initial task, RSI and County project managers will collaborate on a detailed project work plan and other project startup activities. The project plan will contain a detailed task breakdown, staffing estimates, responsibilities, and target start and completion dates. Critical milestones will be established and clearly identified in the plan, which will be used to track and manage progress during the execution of the project. Summarized County staffing estimates will be developed and reviewed with County management as part of the project planning exercise. In addition, key assumptions and approach considerations will be discussed and reviewed, then reflected back in the Project Management Plan deliverable, reviewed, revised, and accepted. Please see Appendix B for Project Management Documentation that will be used as a baseline for Deliverables.

The refinement of the Project Management Plan, the scope, key approach points and assumptions for each deliverable, and the detailed project plan therefore collectively represents the initial "Project Plan and Project Startup Activities" as described in Table 2-1 below:

Table 2-1: Startup Phase Deliverables

RSI Methodology Deliverable	Description	Project Release
Project Management Plan	The Project Management Plan (PMP) is produced after the project kickoff and is jointly agreed to between RSI and the County Project Manager. The PMP contains the following plans and sections, and will be updated for elements pertaining to Tax Discovery as mutually agreed: • Scope Management Plan • Project Schedule • Staffing and Resource Management Plan • System Implementation Plan • Change Management Plan • Quality Assurance / Delivery Management Plan • Communication Management Plan • Issue Management Plan • Risk Management Plan • Training Plan	Initiation (Startup)

2.3 Release 1b

2.3.1 Overview

In parallel to the tax processing implementation in Release 1 of the ITPS project (as set forth in County Contract No. 1518-14681), RSI will develop and implement the first of two tax discovery programs for the County ("Release 1b"). RSI will initially perform a tax gap analysis with the County to mutually agree on the two best initial programs to develop given the available data sources and largest tax gaps that needs to be closed. RSI will then implement the first program, including up to three (3) additional data loads. During requirements confirmation, RSI will work with County to determine where best to focus the compliance programs.

2.3.2 Goals

RSI clients have realized significant benefits taking the "crawl, walk, run" approach to tax discovery, and this same approach will be utilized as part of the ITPS project to help County achieve its goals of:

• Assess the County's current Home Rule Tax registration and perform revenue gap analysis

• Develop tax discovery strategies which will include how gaps are addressed

• Propose and develop procedures in identifying tax discovery targets

- Develop a tax discovery framework
- Realize increased compliance and financial benefits

2.3.3 Scope

RSI will apply its best practices and proven solutions developed across RSI's other prior successful compliance management modernization projects to load up to two data sources and implement the first of two tax discovery programs.

RSI will begin with an assessment of viable discovery programs to determine, with County, which would best serve as a pilot and which as a subsequent program in Release 2b. RSI and County will work in good faith to agree to the Release 1b compliance program (scope, objectives, activities, and timeline).

2.3.3.1 Data Load and Compliance Program

Working with County staff, RSI will review available data sources, define requirements for mapping the selected data sources to AIF (Agency Interface File) staging tables within Portfolio Warehouse, define requirements for the mapping of data in AIF staging tables to the core warehouse tables, execute the ETL (Extract, Transformation, Load) into the AIF staging tables, and execute the Portfolio Warehouse's Associate and Grow (A&G) module to match and map data and the core warehouse tables. During this release, this task will be repeated for each mutually identified data source (up to 2).

RSI and County will identify the data sets during Release 1b. The data sets are directly tied to the discovery program selected, and the available data (and data quality) may help determine the discovery program. Once on-site and with access to legacy data, RSI will assess the data sets and confer with County on which ones to use.

A compliance team working in parallel to the data loading team, and in close collaboration with County staff, will develop the compliance program selections, tax assessment calculations, case flows, notices and interfaces to Revenue Premier. County staff will primarily be utilized during this task as subject matter experts to assist in requirements definition and testing validation as well as any system integration testing where necessary. RSI staff will primarily be focused on configuring and testing the core Portfolio Warehouse components.

2.3.4 Deliverables

The Deliverables for Release 1b are listed below.

Table 2-4: Release Deliverables

RSI Methodology Deliverable	Description	Project Release
Completion of Data Load Package #1	Up to three data sources successfully loaded into the Portfolio Warehouse	Release 1b
Compliance Program #1	Tax discovery program resulting in the selection of potentially non-compliant/non-registered taxpayers.	Release 1b

2.4   Release 2b

2.4.1 Overview

In parallel to the tax processing implementation in Release 2 of the ITPS project (as set forth in County Contract No. 1518-14681), RSI will continue with the tax discovery compliance programs and develop and implement predictive modeling and analytical techniques for either County's collection or audit business process ("Release 2b").

2.4.2 Goals

Release 2b has the similar, overall goal of reducing the County's tax gap. Specifically, goals for this release are to:

- Develop a predictive model for Cook County home-rule taxes. The scope of work is for two (2) compliance programs (one each in Release 1b and 2b) and one (1) predictive model to be defined during the project

- Develop up to three (3) customized reports for performance metrics reporting; these may be based upon reports from the RPE Report Repository.

- Provide training on the creation and application of predictive models and analytical techniques.

2.4.3 Scope

Following the implementation of the Release 1b data foundation and tax discovery program, RSI will develop a second tax discovery program ("Release 2b"), including up to two additional data loads.

RSI will work with County to determine which program, collections or audit, may benefit most from the predictive modeling and analytics. For example, County may benefit significantly from implementation of a Collections Risk Score or from an Audit Selection Score. County & RSI will work to choose which one will best suit County's strategic objectives. RSI will then use the Portfolio Warehouse and Tax Analytics Framework to implement the selected program.

The Portfolio Warehouse provides a reporting framework from which performance metric reports are developed. RSI will develop up to three custom reports using this framework.

2.4.3.1   Data Load and Compliance Program

Working with County staff, RSI will review available data sources, define requirements for mapping the selected data sources to AIF (Agency Interface File) staging tables within Portfolio Warehouse, define requirements for the mapping of data in AIF staging tables to the core warehouse tables, execute the ETL (Extract, Transformation, Load) into the AIF staging tables, and execute the Portfolio Warehouse's Associate and Grow (A&G) module to match and map data and the core warehouse tables. During this release, this task will be repeated for each mutually identified data source (up to 2).

A compliance team working in parallel to the data loading team, and in close collaboration with County staff, will develop the compliance program selections, tax assessment calculations, case flows, notices and interfaces to Revenue Premier. County staff will primarily be utilized during this task as subject matter experts to assist in requirements definition and testing validation as well as any system integration testing where necessary. RSI staff will primarily be focused on configuring and testing the core Portfolio Warehouse components.

2.4.3.2 Predictive Modeling and Analytics

Working with County staff, RSI will confirm the high-level project requirements and implementation strategy for the model. The majority of this information will be elicited during the initial Requirements JAD sessions. This effort will articulate the definition and use of the Collections or Audit Model, the definition of "good" performance (e.g., an audit that yields a revenue per auditor hour of over $x, or a Collections case that is either paid in full or paid in accordance with a payment plan), the data sources to be analyzed, the approach for risk scoring, the subsequent enforcement action analysis, and the implementation approach of the models.

During further design, RSI will define each variable to be used in the model and how it is to be obtained and calculated. Leveraging best practices, RSI will develop the statistical methodology used to construct the model, and will create a performance table for the model that shows expected levels of performance.

Finally, RSI will implement the Collections or Audit Model, the Collections or Audit Scoring Routine, and the Case Prioritization and Treatment Work List Reports. This will include deploying the code to the Production environment, performing an initial scoring run, and generating and distributing to Collection or Audit workers the Case Prioritization and Treatment Work Lists Reports. RSI will deliver all run-time code to support the repeatable process of scoring cases and producing Case Prioritization and Treatment Work List Reports.

2.4.4 Deliverables

The Deliverables for Release 2b are listed in Table 2-6 below:

Table 2-6: Release 2b Deliverables

RSI Methodology Deliverable	Description	Project Release
Completion of Data Load Package #2	Up to two data sources successfully loaded into the Portfolio Warehouse	Release 2b
Compliance Program #2	Tax discovery program resulting in the selection of potentially not compliant/registered taxpayers.	Release 2b
Predictive Modeling Scope and Approach Document	Defines the scope (audit or collections) and the approach for the model.	Release 2b
Model Report Document	Documents the detailed model contents and methodology.	Release 2b
Collections or Audit Scoring, Case Prioritization and Treatment Work List Report Implementation	Final deployment of the model, scoring routines, reports, and code.	Release 2b

3.0   PROJECT GOVERNANCE

3.1   Project Management Methodology

RSI will work with the County to plan and execute an effective approach for managing the ITPS project implementation and supporting organizational change, including Tax Discovery tasks. The approach that RSI uses to manage complex projects is embodied in the methodology and spans all phases of the software releases.

From a system implementation perspective, each of the life-cycle stages in the methodology includes a number of underlying tasks resulting in work-products and deliverables. Some of these tasks are executed in sequence (with end-to-end dependencies) and others are executed in parallel. *Project management directs, coordinates and monitors the activities in the life-cycle stages and provides the guidance and tools to deliver quality deliverables in a timely manner.* The goal is to structure the project so that:

- Scope is controlled
- Schedule, cost and quality is achieved
- Staffing is at appropriate levels
- Communication is occurring appropriately
- Risks are identified and mitigated, or avoided
- Quality is maximized
- Issues are tracked and resolved in a timely manner.

During the Project Initiation phase of the project, RSI will publish a Project Management Plan (PMP). Typically it is produced after the project kickoff and is jointly agreed to between RSI and the County Project Manager. The PMP contains the following plans and sections:

- Scope Management Plan
- Project Schedule
- Staffing and Resource Management Plan
- System Implementation Plan
- Change Management Plan
- Quality Assurance / Delivery Management Plan
- Communication Management Plan
- Issue Management Plan
- Risk Management Plan

The Cook County Project Manager may request additional information to be added to project management documentation to align it to the BOT ePMO Project Management reporting practices. RSI will work with the Cook County Project Manager to provide all necessary documentation which may include but not be limited to i.e., project status reports, project schedule reporting, change request forms etc.

RSI understands County will employ an Independent Validation and Verification (IV&V) contractor for the ITPS and Tax Discovery projects. As such RSI agrees to reasonably respond to IV&V vendor requests for information and reports.

3.2　Change Management Process

The Scope Management section of the Project Management Plan describes how the key goals and objectives of the Agency will be managed and how agreed upon changes will be incorporated into the project deliverables. A clearly defined project scope provides a baseline to measure progress against a known final objective of the project. Proposed changes are handled through the documented change control process, which ensures changes are managed effectively. The Project Management Office will be responsible for managing all scope defined within the SOW and refined during the Project Initiation phase of the project. All scope changes approved the Change Control Board will be documented and communicated to all project stakeholders and Project Team member impacted by the scope change.

A robust Change Control process certifies that only necessary changes are incorporated into the project and that all impacted work streams are adjusted accordingly for each approved change.

Change, or the need to respond to change, is a normal part of any large or complicated project. When managed well, changes during the course of a project can enhance the results of the project. When managed poorly, changes can derail a project.

RSI has established a comprehensive change management, or change control, approach as a standard practice in all of our client engagements. With consideration for the particular needs of the agency, the approach and management process proposed for the project are as follows:

- Change request is identified and logged;
- RSI responds to client requests for changes by providing a description of the scope of the change, details/impact of the change, work estimates and cost to the client;
- Impact of the change is assessed with respect to implementation timeline, schedule and resources;
- Change request is evaluated and if approved, the agency executes a Change Order once the description of and specifications for the change, as well as any equitable adjustments that need to be made in RSI's fee or the schedule for the work have been agreed. Assessment of the "ripple effect" of the change, as it may impact other aspects of project work, will be conducted prior to final agreement to proceed with the change;
- Work associated with the change is scheduled and worked; and,
- Once work effort is completed, the change request is validated and signed-off.

Change orders will be reviewed by the RSI and Cook County Project Manager and, upon approval, passed on to the Project Team for review. The status of change orders will be logged.

The creator of the request will be notified when a change order has been approved, rejected or additional information has been requested by the Project Team. Change orders that are agreed upon by the parties to be out of scope shall be addressed via a separate contract. RSI has provided a rate card in the Schedule of Compensation, Exhibit 2.

A depiction of RSI's Change Control process is presented below in Figure 3-1 below.
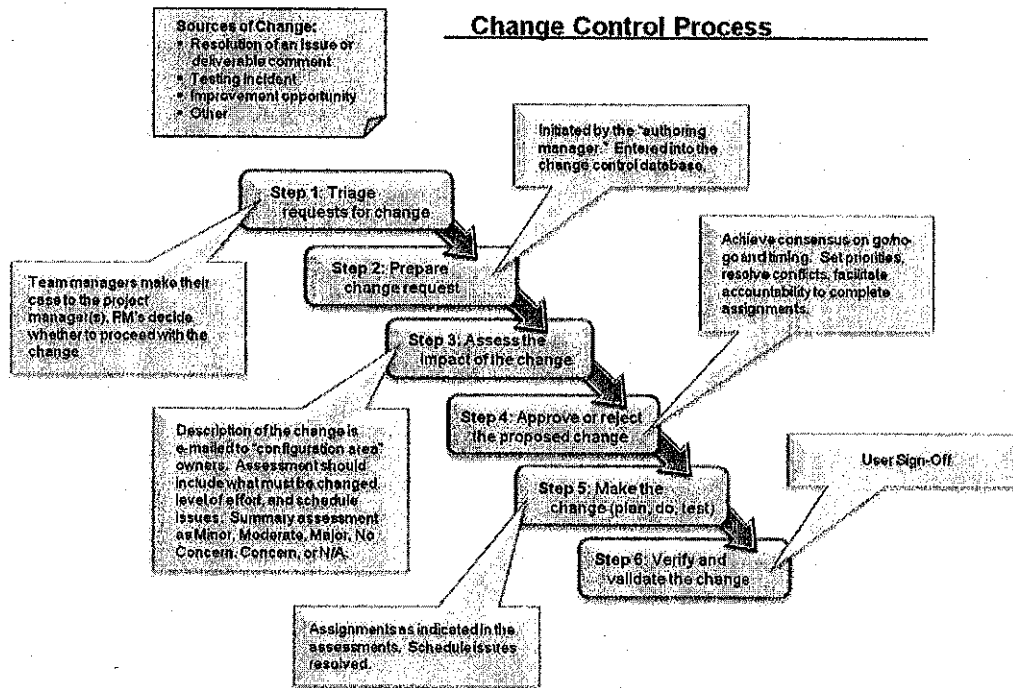
Figure 3-1: RSI's Change Management Process

A clearly documented change management process sets expectations for all stakeholders on how project changes are managed.

Any change requests that require modifications to the baseline Revenue Premier COTS application will be developed by RSI's Solution Center under configuration management and delivered to the project site. These changes will then become part of the base COTS software and available as part of future versions of the software. It is assumed that changes to other parts of the proposed solution (e.g., local customizations) will be managed as part of the process currently in place to accommodate those types of changes. In addition, those changes would be managed under the configuration management process already in place.

3.3 Critical Success Factors

What does success look like for the ITPS and Tax Discovery projects?

The success of this project will most importantly be measured by the magnitude of tangible and intangible benefits generated as a result of the ITPS solution, with Tax Discovery enhancements, working effectively in production. Financial (direct) benefits will be derived from the compliance initiatives implemented as part of the project. In addition, there will be significant indirect benefits

generated through productivity improvements of County staff, and through the general voluntary compliance improvements indirectly resulting from the increased ease of self-service of taxpayers.

The technology and process elements of the goal are to implement a modern, integrated tax processing solution, along with related business process changes, in a way that helps County rapidly adapt to future change and be as self-sufficient as possible.

RSI will help the County focus attention on the internal goal of building skills and expertise around the new ITPS and Tax Discovery solution, specifically in leadership, functional and technical disciplines in a way that strengthens the County's capabilities and the capabilities of individual team members.

In our experience, there are a number of critical elements to executing the ITPS project well. These are elements of an atmosphere of success that we can put in place now. All team members, regardless of their role, contribute to the success of the project by:

- Focusing on results,
- Tackling issues quickly,
- Knowing when to ask for help, and
- Communicating openly

3.4 County Responsibilities

The County will be responsible for providing in a timely manner any required information, data, documentation, issue decisions, and test data as needed by the project team.

The County will work with RSI to meet the project schedule and to reach milestones on time. Cook County will provide access to a SharePoint and TFS environment to store all project management and other project related artifacts.

The County will be responsible for completing those tasks specified and mutually agreed to as County responsibilities in this Statement of Work and in the Project Management Plan, once accepted. High level expectations for County's responsibilities are contained in Section 6 below and in Appendix D.

The County will provide RSI with timely access to appropriate County personnel as necessary or helpful to perform RSI's obligations under this Statement of Work.

3.5 General

RSI has based its pricing, scheduling, and knowledge transfer expectations on the responsibilities and assumptions stated in this Statement of Work. Both parties have agreed to provide sufficient staff with the necessary skills and experience to complete the project within the timeframes and budget agreed to, while at the same time ensuring that the County staff receives sufficient training and have had sufficient participation throughout the project to assume control of the solutions upon production implementation.

The County and RSI agree that the draft implementation plan provided in the proposal is a living document which will change during the project with the mutual consent of the County and RSI. There may be situations during the execution of the project where there is mutual agreement between the parties to shift focus, change the task execution order, or replace certain tasks with other tasks. Any significant change to the project plan and the Statement of Work should be documented through the

change order process, regardless if there is a cost to the change. This will provide an audit trail of the changes agreed to between the two project management teams.

3.6   Facilities

The County will provide reasonable work space, furniture, network connections and telephones to project staff. The facilities provided must be able to support a peak onsite RSI staff of up to eight (8) full-time RSI team members at some points in the project timeline.

The County will provide office space, network access and up to 5 desktops for the RSI team members to perform the services specified in this Statement of Work.

3.7   Connectivity and Security Access

As new RSI project team members arrive on the project site, there is an expectation that the County will work with RSI to ensure necessary access to the appropriate network, printers and applications necessary to complete the individual's work while on the project site. This is to include internet access, and project information such as technical documentation, deliverables, software version control tools, and incident tracking tools. This access should be granted within two (2) days of arrival or within two (2) days of installation of the hardware or software. RSI will comply with any necessary background checks or acknowledgement signing necessary to grant this access. If access to County specific applications or environments is required to complete the work, there is an assumption that this security access to operating systems, databases, or other systems will be granted within two (2) days.

RSI will require access to the project's designated work area and information systems 24 hours per day, seven days per week during the contract period with two days advanced notice. RSI will require the assistance of the County's staff from time to time, on an as needed basis to facilitate systems work that may be required. When possible this work will be scheduled in advance from 6:00 a.m. through 6:00 p.m., Monday through Friday, but may be required to be completed at other times as dictated by the project schedule.

RSI development staff will be provided with security access to all project related hardware, operating software, and applications in the development and production environments in order to complete project activities.   RSI agrees to abide by all County security regulations concerning access to and confidentiality of data of which RSI has advance written notice.

3.8   Approvals and Information

Under the conduct of this Statement of Work, there is an expectation that each party will respond with reasonable promptness to any request by the other party to provide information, direction, authorization, approvals and/or decision relating to performance of the requesting party's obligations under this Statement of Work. Due to the tight timeframes on this project, neither party will unreasonably delay providing a response to any such request. The parties intend that all such responses shall be provided within five (5) business days. If a response is not given within five (5) business days the matter will be taken to the Project Team. If a decision cannot be reached by the Project Team via the weekly Project Team status meetings, then it will be escalated to the Steering Committee.

A decision must be made by the Steering Committee within five business days from the date the request was submitted for discussion. If a decision has not been made within five business days, the RSI Project Manager will send a second and final notice to the Cook County Project Manager. If a decision has not

been made within five business days of the final notice, the issue may be submitted to the County's Office of the Chief Procurement Officer.

The issue resolution process will adhere to the following guidelines:

- All project-related decisions will be made by the appropriate business SMEs/leads identified in the previous section.

- If an issue is identified, a resolution or approval must be given within two business days of the issue being identified. If a decision has not been rendered within two business days, the matter will be taken to the Project Team. If a decision cannot be reached by the Project Team via the weekly Project Team status meetings, then the issue will be escalated to the Steering Committee for resolution.

- A decision must be made by the Steering Committee within five business days from the date the issue was submitted for discussion. If a decision has not been made within five business days, the RSI Project Manager will send a second and final notice to the Cook County Project Manager. If a decision has not been made within five business days of the final notice, the issue may be submitted to the County's Office of the Chief Procurement Officer.

- Once a decision has been made, the matter will be documented either via a Status Memo or via a Change Order if appropriate.

- If at some time in the future, Cook County or RSI desire to change a previously made decision, the matter must be addressed with the other Project Manager. A request to change a prior decision must be submitted by the Cook County or RSI Project Manager and be accompanied with corresponding documentation as to why the change is being requested and the potential impact to the project. If RSI or Cook County determines that the change in direction presents a risk to the project, the matter will be escalated to the Steering Committee for final decision making within two business days of the request being submitted.

4.0 PROJECT IMPLEMENTATION METHODOLOGY

RSI will employ its COTS Software Implementation Methodology which is based on the Project Management Body of Knowledge (PMBOK®). PMBOK is a widely used repository of best practices that has been proven in thousands of engagements worldwide. Our methodology takes full advantage of prior implementations of Revenue Premier where artifacts created during previous implementations are available as is or as a starting point (and since the examples are Revenue Premier/tax related, they often contain best practices).
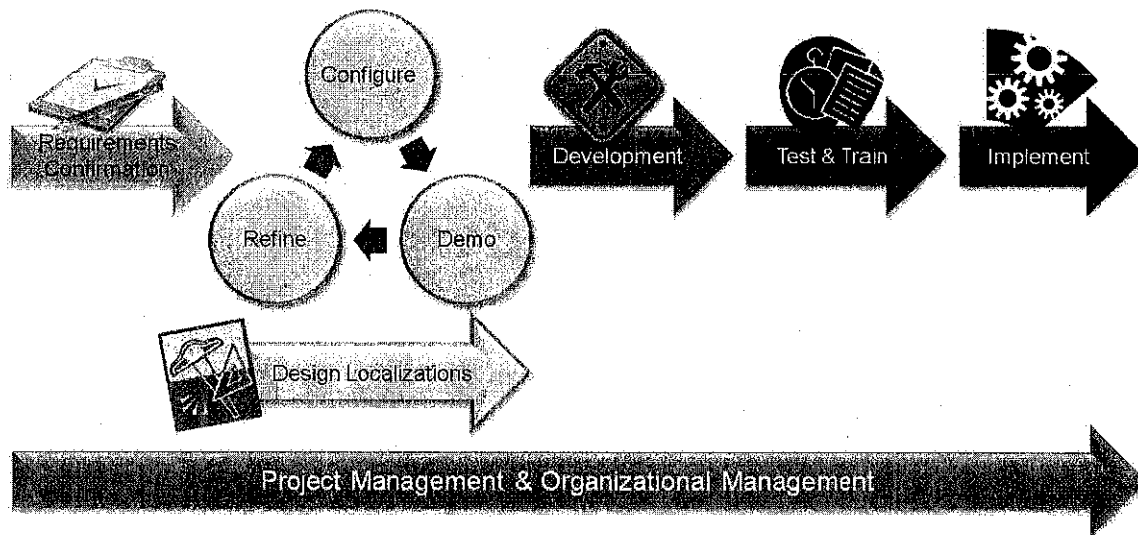
Figure 4.1: RSI's COTS Software Implementation Methodology

RSI's COTS Software Implementation Methodology ensures that project phases are completed on time, on budget and that the Project Team produces high quality deliverables. The COTS Software Implementation Methodology is a framework that is used to manage and deliver all the aspects of the project. At the same time, it incorporates the flexibility necessary to address the County's specific needs. The methodology utilizes repeatable processes, with a focus on iterative interaction with County personnel that produces expected results and enables County staff to succeed in their new roles.

4.1.1 Project Management and Organizational Change Management

RSI will work with the County to plan and execute an effective approach for managing the ITPS implementation and supporting organizational change. RSI will use its PMBOK-based methodology to manage all phases of each release.

Each of the life-cycle stages in the methodology includes a number of underlying tasks resulting in work-products and deliverables. Some of these tasks are executed in sequence (with end-to-end dependencies) and others are executed in parallel to each other. *Project management will direct, coordinate and monitor the activities in the life-cycle stages and will provide the guidance and tools to deliver quality deliverables in a timely manner.* The goal is to ensure that the project is managed and controlled so that:

- Scope is controlled

- Schedule, Cost and Quality is achieved

- Staffing is at appropriate level

- Communication is occurring appropriately

- Risks are identified and mitigated

- Issues are tracked and resolved in a timely manner

4.1.2 Requirements Confirmation Phase

Along with County personnel assigned to the project, the RSI Team will work to confirm a mutual understanding of the requirements. The team will review each requirement with the appropriate County personnel to confirm the purpose of the requirement and to align the requirements with the corresponding module and functionality within Revenue Premier. Requirements lists often speak generically across functions required of the County; therefore, it is important to understand the intricacies of a given requirement to be properly administered in the new system. In some instances, RSI will use a demonstration version of Revenue Premier to further explore and understand requirements.

After confirming the requirements and assigning requirements to releases, the RSI Team will work with County to identify the information necessary to configure the application and validate the functionality in each release. The Requirements Confirmation phase generally aligns with the Mobilization phase of the County's implementation approach.

RSI's COTS Software Implementation Methodology utilizes the concept of a Tax Binder to consolidate the configuration information. The Tax Binder will provide the details for configuring the tax programs and functionality required. It will include the list of tax programs, sub programs, an overview of the tax (including what is the tax, taxpayer base, etc.), statistics (e.g., dollars collected, returns filed, etc.), peripheral reference data related to each tax program, as well as the inventories of notices, reports and interfaces for each phase. Existing tax forms and instructions are also included as a frame of reference for the processing of each form. The Tax Binder is the reference guide for configuring the system. Table 4-1 below provides an outline for what comprises the Tax Binder.

Table 4-1: Outline of the Tax Binder

Function/Functional Area	Configuration Items
Entity Identification	- Tax Program & Subtypes - Tax Program Statuses - Asset Types - Relationships Types - Name Types - Address Types - Email Address Types - Exemption Types & Statuses - Entity Types & Statuses

Function/Functional Area	Configuration Items
	• Registration Rules (e.g., method/form, fees, filing frequency, etc.) • Periodic Correspondence Rules • Address Hierarchy
Tax Processing & Channel Management	• Deposit Account Information & Rules • Batch Types, Statuses, Groups & Special Codes • Document Locator Number Algorithm • Remittance Types • Document Types • Form Types & Validation Rules • Exceptions • Form Layouts
Taxpayer Accounting	• Penalty & Interest Rules • Process Period Balance Rules • Liability Types & Reasons • Billing Rules • Credit Types & Reasons • Refund Types & Reasons • Refund Rules • General Ledger Codes to Tax Program Associations • Hold Reasons • Write Off Types & Reasons
Revenue Accounting	• General Ledger Funds • General Ledger Codes • General Ledger Distribution Accounts & Rules • Voucher Types • Voucher Templates • Voucher Reasons
Enforced Compliance	• Levy (Garnishment) Types & Rules • Lien Rules • Payment Agreement Rules • Hold Types & Rules
Workflow	• Registration Workflows • Accounting Workflows

Function/Functional Area	Configuration Items
	• Refund Workflows • Billing Workflows • Collections Workflows
Work Item Management	• Agency Hierarchy • Work Item Assignment Rules • Work Lists & Resolutions

4.1.3 Application Configuration and Localization Design Phase

RSI does not utilize a conventional waterfall implementation approach. As such, the team does not await the full completion of all of artifacts to begin configuration and development. Rather, the team begins the effort to configure and customize the system where the inputs are known in order to gain validation and verification from the County on an ongoing basis. Verification and validation is obtained through actual demonstration of the application to the applicable County personnel utilizing the provided configuration information. Demonstrating the application instead of developing voluminous design documentation provides the County a tangible method of confirming that the system meets a given requirement or set of requirements. This approach is afforded by starting with a COTS application rather than a framework or transfer solution. This "early and often" approach provides the County with something to see and validate as soon as it is ready. This experience-based design process, giving key users a chance to see and feel how the application will function in your specific business environment, further increases the likelihood of getting to the later cycles of testing and implementation check-points on time and with less misunderstandings of your expectations.

4.1.4 Configuration

Utilizing the Tax Binder and Inventories as primary input, the RSI Team begins configuration as soon as possible. Many items are known early in the project and can be validated with the County within weeks of the project start, even before the completion of the Tax Binder. This rapid approach to configuration allows the team to provide the County with constant demonstration of what has been configured in order to confirm the understanding of the requirements and/or make modifications early in the process. The ease of configurability of the Revenue Premier system and the efficiency of the deployment and testing processes make this more iterative and rapid configuration process a powerful aspect of RSI's implementation approach.

The constant involvement of authorized and qualified County personnel throughout the configuration cycle provides two key outcomes:

- Project team members obtain "hands-on" validation of the configuration early and often. This provides the team with the confidence that the implementation is meeting expectations and lessens rework later in the project.

- Agency personnel gain insight into the product long before formalized training. This provides these individuals information on how the system will operate once implemented and allows them to gain proficiency early in the project.

The cycle of configuration hinges on the ability of the team to iteratively interact with the County's personnel and move through barriers as they arise. The approach gives light to the County's

expectations and requirement misinterpretations, thus aligning the efforts of the team with County's goals for the project. With this in mind, it is important that the County assign to the project personnel who have been given authority to make decisions and have deep knowledge of the County's processes. Involving these individuals with the project helps to resolve issues and overcome barriers throughout the implementation cycle.

4.1.5 Demo and Refine Configurations

RSI configures the system in a non-production environment for the users to see. In our implementation experience, we've found that demonstrating the configuration to County personnel on a frequent basis, plus allowing the users to "test drive" those configurations regularly, leads to a more rapid acceptance of the system and ability to get the business rules right sooner, and with less rework. Any refinements to the configuration can be identified rapidly and integrated so the users can see the effects of changes to business rules, workflow and reporting. Again, the ease of configurability of Revenue Premier and the efficiency of the deployment and testing processes make this more iterative and rapid configuration process a powerful aspect of RSI's implementation approach.

4.1.6 Design Localizations

The RSI Team works closely with the County to understand gaps specific to the County and focuses on reusing existing system functions wherever possible. As is expected, sometimes not every function needed by the County is accounted for within the base solution; therefore, the team works with the County in designing these necessary configurations or extensions as localizations.
Included in these localizations are the following:

- Agency specific notices
- Agency specific reports
- Agency specific interfaces

Along with the Tax Binder, these system specifications provide the necessary input into the configuration and development phase of the project.

The primary outcomes of this phase are System Design documents:

- Business Rule Catalog
- Reference Data Catalog
- Notice designs
- Report designs
- Interface and localization designs

RSI works closely with the County to determine reasonably the effectiveness of each item within the context of the new system. For instance, some reports may no longer be needed as the information is available via real-time, online searching and some notices may be consolidated since they are being generated out of a single integrated solution. Designs are created for those customizations done on-site as opposed to items that require enhancements to the COTS product in RSI's Solution Center.

4.1.7 Development Phase

As mentioned above, the primary input to the Development Phase (and configuration tasks) is the Tax Binder and System Design documents for the items localized to the County.

RSI will use the Revenue Premier standard interface facility that provides the tools, design patterns and frameworks for integration with internal and external systems. County and RSI will mutually agree on a layout for each interface and each partner will build their "side" of the interface and handle any modifications to their systems. RSI has the "Revenue Premier side" of many interfaces already developed (for example, a daily deposit treasury interface) which will be leveraged to facilitate the interface layout design further expediting the process and lowering risk.

4.1.8 Test and Train Phase

At this stage in the overall process, many of the County's personnel have been fully involved with the process and engaged in many demonstrations pertaining to configuration and design. However, not everyone has had the opportunity to use the system. RSI will train County testers on how the system operates to facilitate the Model Office Acceptance Testing. The Model Office Accepting Test consists of executing a "day in the life" script co-created by RSI and the County with the purpose of providing the County with the confidence to proceed to conversion knowing the outcomes of the execution of this test.

Refer to Training Plan in Appendix C which will include the following training types:

- User Training

- Technologists (Administrator/SME)Training

- Third Party Training Faculty

- Tax Discovery/Data Analytics Training

4.1.8.1 Testing

RSI's methodology focuses on constant validation, testing and verification with the County throughout the lifecycle of the project. This starts at the beginning of the project with requirements confirmation (with the actual software as described above) and continues into configuration and the design of any localized interfaces and processes. County team members obtain validation of the configuration by testing early and often. This approach allows testers to provide constant feedback on the solution, which enables issues to be identified and corrected early in the process, well before System Testing or Model Office Acceptance Testing. Ultimately, Model Office Acceptance Testing is fast-tracked as key County users will have been involved in the requirements, configuration and validation of the product throughout the system implementation phase which lessens rework later in the project.

RSI views testing as an important opportunity for knowledge transfer to County personnel. As described in several areas in this section, RSI plans to have County personnel engaged in testing activities and even leading some phases, such as Model Office Acceptance Testing. Where the County's resources are available, RSI's testing methodology is designed to transfer knowledge of how to properly test and regression test the application with the goal of empowering the County with a sound testing approach that can be utilized for years to come. Figure 4-2 depicts the planned test phases for a Revenue Premier project. RSI will provide sample use cases and test scripts as a reference guide for the Cook County project team.

Unit Test (occurs during initial development as well as when changes are made during subsequent test phases.

Component Test

Component Group Test
(System Test)

Converted Data Test

Model Office Acceptance Test

Performance Test

Regression Test

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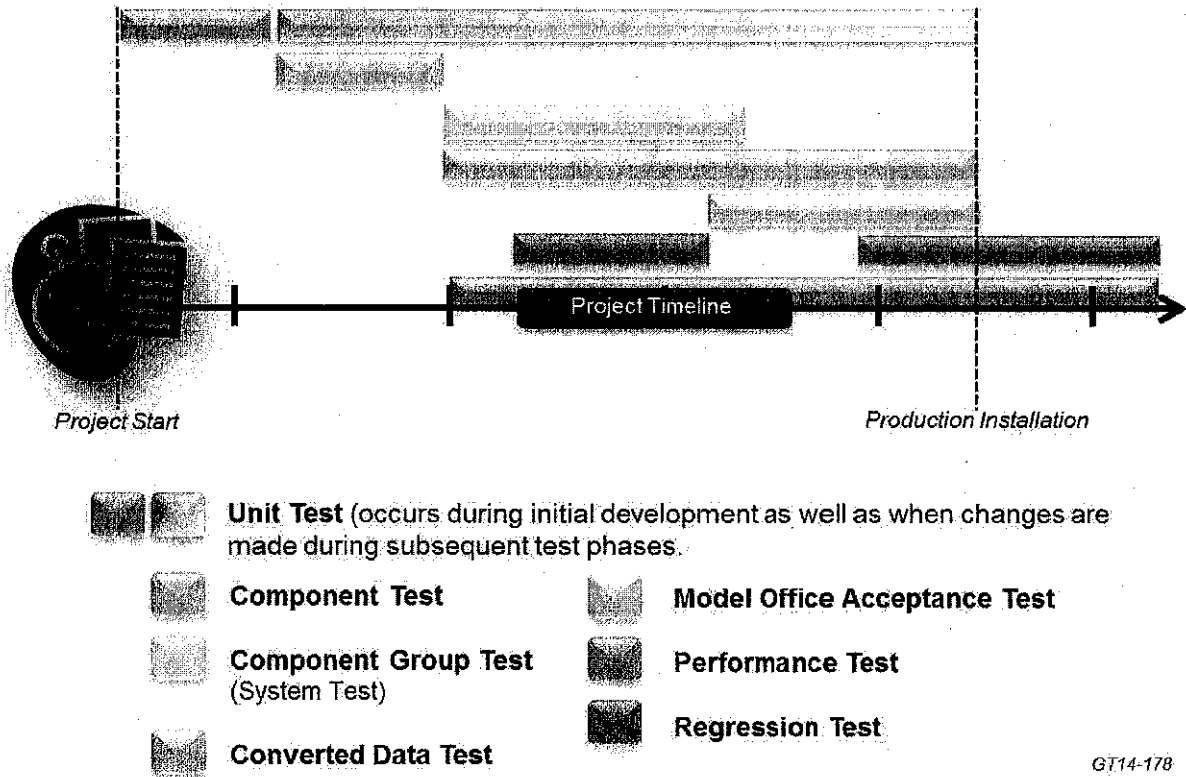
Figure 4-2: Planned Test Phases

Since Revenue Premier is a COTS product, the core system functions including security functions and features are built-in and tested as part of the base product in our Solution Center and further through each client's implementations and production usage. Therefore, testing for the project is focused and tailored to the County's account types, configurations, localization, interfaces, conversion, reports and security settings. As most of the County's configurations take place in the Business Rules Management System (BRMS), testing of the County's logic can be isolated.

Unit Testing

RSI will unit test County-specific business rule configuration and localized development for data integration programs, interfaces, notices, and reports. Proper unit tests improve quality by providing automated feedback that each component is working as initially designed. In cases where County has developed localized extensions (e.g., data extracts from County systems), County is responsible for unit testing the developed code.

County is responsible for unit testing its own code. This may occur in the instance County develops code to extract data from legacy systems. In this case, RSI would expect the extracts to be tested and available for use during conversion/data loads into RPE.

Component Testing

RSI shall be responsible for component testing of business rules within Revenue Premier. These are contained in a BRMS where core business rules (a baseline set of rules provided with the software to operate the solution) and most client specific configurations are incorporated into the

system. The BRMS testing tool is called BrUnit, and it allows the business analyst to perform both manual and automated testing on the business scenarios and understand the impact of rule changes on existing business scenarios. The BRMS testing tool provides the great advantage of being able to review the effects of business rule changes on business scenarios quickly and to demonstrate these changes to end-users easily.

Component testing is an iterative process confirming the configuration and business rules. RSI uses a "live" test environment to demonstrate the functionality as configured, and County confirms it meets requirements. RSI business analysts will demonstrate configuration changes and new development for reports to County end-users as part of Component Testing. Any issues uncovered during component testing will be resolved by RSI. The change will then be unit tested before it is returned.

Component Group Testing (System Testing)

Component Group Tests, sometimes called System Tests, are integrated functional tests derived from traceable user requirements that verify that all functions of the system are working as designed and that all processes and interfaces work together as intended end-to-end in a Production-like testing environment. Component Group test scenarios and scripts will be written and executed by a group of testers that include both RSI test team members and key County resources in a joint testing effort. The test scenarios will be tied to County requirements and designs, and the expected results versus the actual test results will be tracked through the Team Foundation Server (TFS) testing tool. County will provide a TFS environment on which RSI will install a Revenue Premier project repository including: requirements, work items, and test scripts. Test scripts will be modified or supplemented as needed per requirements, and used for Component Group Testing. Test data is created by RSI and County to fulfill each test scenario. Converted production-like data will be used for test scenarios once the converted data has passed its own testing, where and when possible.

All system problems found during Component Group Testing will be logged and tracked in TFS. Once an issue is resolved and provided in a new build in the test environment, the issue will be retested. Once all issues for a test scenario have passed retest, the test scenario will then be retested and the test metrics will be updated if the test scenario passes. If new issues are found, they will be logged and the test scenario will not passed until all steps of the test scenario are successful. All test results will be retained in TFS.

Model Office Acceptance Testing

Model Office Acceptance Testing is fundamentally different than a typical User Acceptance Testing phase. User testing will be fast-tracked as key County users will have been thoroughly involved in the requirements, iterative configuration process (configure – demo – refine), and validation of the product after completing Component Group Testing. The Model Office Acceptance Test phase will be led by County and supported by the RSI team. By leading the Model Office Testing effort, County personnel begin to take ownership of the solution and receive valuable knowledge transfer.

During Model Office (MO) Acceptance Testing, RSI and County will practice the process of moving the new system into a production-like environment with all necessary participants involved. MO testing will begin with validation and verification of converted data. This converted data will then be used to conduct production type functions in the new system to mimic a day in production. A day will include activities such as registering taxpayers, processing returns and payments, producing correspondence, reconciling financial transactions, managing case workflow, and reporting. County

team members are responsible for these test activities. Issues encountered will be addressed by both RSI and County, and, if necessary, more Model Office Acceptance Testing rounds will be performed until the County is comfortable with converting the new system to the Production environment. It will <u>not</u> be a re-execution of system testing using vendor produced test scripts.

Regression Testing

Regression Testing will be an ongoing effort, closely related to defect resolutions and change requests. The goal for Regression Testing is to validate that all the main functions of the system are still working as expected and have not been broken due to code or configuration changes or fixes that have been introduced. Regression tests prove that the system is ready for the next test phase. Note that developers will also unit test changes or fixes, prior to releasing them for regression testing.

4.1.8.2   Training

RSI recognizes that ultimately, the project is a success when County personnel have accepted the new system and are able to produce results. Training of County personnel begins on the first day of the project. An active role on the project is the first opportunity for team members to participate in on-the-job training. Knowledge transfer starts with the County's staff dedicated to the ITPS Project team, who will ultimately be the initial user experts of the system. It is here that day-to-day mentorship begins on functional and technical aspects of the Revenue Premier modules as well as the overall ITPS.

The training team executes the training methodology for the project, seen below in Figure 4-3, and reiterates when necessary for each implementation phase.

Plan
- Create Training Plan
- Staff Training Team
- Define Roles for Role-Based Training

Prepare
- Prepare Train the Trainer Materials
- Site-specific Classroom Training updates to exercises
- Train Revenue Premier Mentors
- Author Training Communication Plan

Train
- Execute Training Pilots
- Train the Users
- Deliver On-The-Job Training
- Deploy Revenue Premier Mentors

Support
- Support Revenue Premier Mentors
- Provide Interactive Online Help and Job Aids

Figure 4-3: Training Methodology

Each of the four components of RSI's training methodology is described in more detail below.

Plan

RSI will develop a Training Plan during the initiation phase of the project and will revise and refine it as each release nears training and deployment. The Training Plan defines the training objectives of the project and the process by which they are achieved and measured. The implementation approach includes components such as traditional classroom instructor led training, On-The-Job (OJT) training, job aids, and mentors.

The training plan will identify role-based course curricula and the schedule. It primarily addresses training for Revenue Premier components because it impacts the majority of new users. Individuals that need more training to perform their new job functions start training earlier than individuals with less demanding new roles.

Prepare

RSI will revise the base Revenue Premier training materials to reflect the County-specific configurations. For example, hands on exercises will be customized for the County. In some instances, administrative guidelines and processes may change and functional job aids will be required. County will be responsible for creating these functional job aids, and RSI will assist as needed.

RSI will work with County to create a communication plan. The training communication plan will define how information is shared with County staff. The objective is to help prepare the organization for the new system. For example, newsletters may be used to communicate project status, instructions on how to register for training and identify how to get additional help if needed. County will be responsible for integrating the training communication with any broader agency communication programs and/or tools.

Train

RSI will begin end user training with training pilots prior to Model Office Acceptance Testing. The pilots will prepare individuals who are on the Model Office Acceptance Testing team. Training internal users will occur prior to production launch. The County's Revenue Premier mentors will be deployed as part of the production launch and learning continues with support and on-the-job training.

Training will follow the curriculum and schedule defined in the Training Plan.

Support

Training will not end once the class is over. County personnel will be supported by County mentors, training Job Aides, Revenue Premier's context sensitive online help and the County's helpdesk as a first line of support, and then, RSI team members as well. Internal users will also have access to the sandbox environment to reinforce the new skills learned during training.

4.1.9 Implementation (Rollout) Phase

The Implementation phase contains the necessary steps for production cutover. These steps are each explained below. Each of the activities mentioned below will be developed by RSI with input and approval by the County:

Preparation & Maintenance of the Implementation Timeline – The Implementation Timeline will contain tasks required leading up to and for performing the conversion and implementation of the ITPS solution. These tasks will be jointly administered by RSI and the County. Tasks requiring modifications to or stoppage of existing legacy modules and processes are the responsibility of the County and are coordinated through this Implementation Timeline and any necessary meetings.

Production Ramp-Up Schedule – The Ramp-Up Schedule is a document containing a list of all the offline processes that are executed. These may include mailings, invoices, or refunds. As these items can be sensitive in nature during any cutover, they are monitored closely. RSI will work with the County to select an acceptable number of records to execute once the system is in operation. The County will adjust to the new system in a reasonable manner, maintain control over volumes (manually or through business rules, if desired), and monitor the system for any items out of the ordinary.

Prepare & Maintain the Readiness Checklist – The Readiness Checklist is a high-level document that provides the team with the necessary assurance from the County that the production cutover may proceed. Unlike the Implementation Timeline, which contains detailed tasks that need to occur leading up to conversion, the Readiness Checklist is broader in scope. It contains items such as acceptance of the system during Model Office Acceptance Testing, verification/cleansing of converted data during mock conversions, training completion and government change communication. Together with the County, RSI will mark each item finished as they are completed leading up to the date of cutover/conversion.

Execute Conversion – As final data conversion executes, exceptions will be written to a report (with codes and explanations) for review by the County. This same process will have been executed in the Mock Conversion to identify and fix data issues prior to Go-Live. The County is responsible for final signoff to confirm that conversion has completed accurately based on the reconciliation reports developed for the conversion and other specific checks. User training is coordinated prior to Go-Live. Technical training is also executed simultaneously during mock conversions and Go-Live runs to familiarize County operations with batch control jobs and administrative tables in the production environment. Given the County team members' involvement throughout the project from design through testing, many key members of the staff will already be familiar with the system prior to formal training.

Deployment/Go-Live – The production system is effectively turned over to the County for use. RSI Team members will be on hand to support the County with the initial transition and to support the users during the early weeks of operation. During each Release, RSI will provide on-site support to troubleshoot implementation issues as well as provide software maintenance for baseline defects.

After all deployment activities are completed and the Revenue Premier system is live, the production environment will be monitored closely to determine if there are any issues to be addressed. Controlled production means taking daily checkpoints to understand performance of the system. Volumes of taxpayer returns and payments for processing may be throttled at the start of production to acclimate the County to the new system. Processes will be monitored closely to ensure that all activities are operating normally. Lastly, users are polled to ensure that the business of the County is being conducted as expected.

4.1.10 Payment Holdbacks for Failing to Meet SLA's and Project Deliverables

As part of the overall ITPS project, which includes Tax Discovery functionality provided under this Contract, the RSI team shall provide a biannual report by the 20th of the month following the biannual close, of any outstanding defects reported during implementation and after Go Live for the life of the contract. The report shall document the RSI team's performance measures towards the following service level requirements.

Failure to provide this report is deemed a service level violation (and subject to a 5% withhold of the biannual maintenance invoice as described below).

In the event that the RSI team fails to meet the service level requirement outlined below, it shall investigate the root cause to determine if any trends exist. If any trends exist, it shall create a corrective plan of action. The RSI team shall present the County with the data on such trends, a copy of the corrective plan of action and regular updates on the success of the plan of action on an interval consistent with the biannual reporting.

For the purposes of the helpdesk SLAs a "Failure to Respond" occurs when the RSI team is in confirmed receipt of a service ticket and the RSI team fails to respond to the County within the timeframe defined in the SLA. The RSI team receipt of the service ticket shall be defined as the date/time of confirmed receipt by RSI via a mutually agreeable helpdesk submission process.

For each of the below SLAs: (1) measurements are biannual after go-live, except the completion of milestones, which shall be reported during the full lifecycle of the project, (2) the RSI team shall affirmatively monitor for SLA compliance and notify the County of SLA violations, (3) the RSI team shall give the County raw data to validate SLA compliance and calculation of credits and (4) the RSI team shall provide an executive summary of raw data that explains service level compliance for the determination of holdbacks, data trends, and emerging and ongoing issues.

The County reserves the right to hold back five percent (5%) of the biannual RSI maintenance invoice if RSI fails to satisfy each P1 SLA identified (within the Corrective Action Timeframe as defined below) and at least 4 days prior to the close of the previous billing period and properly reported (by County) in accordance with Exhibit 3 - Software License and Maintenance Agreement, with a maximum of 15 percent (or 3 defects) at any one time. Where the County identifies the SLA violation less than 4 days prior to close of the previous billing period, the County reserves the right to apply the holdback to the next billing period. The County will continue to withhold payment for the duration of a subsequent billing period for each P1 SLA identified (maximum of 15 percent (or 3 defects) until RSI satisfies it. RSI can bill for any resolved defects from a prior period at the end of the subsequent billing period.

The payment holdback shall not limit the rights of the County to take further legal action or use the escalation process as defined in the PSA; nor does a failure to satisfy a P1 SLA within the Corrective Action Timeframe in itself constitute a breach of the Contract.

Service Requirements	Service Level Agreement (SLA)	Holdback
The RSI Team completion of "deliverables" The pricing and fees are based on deliverables as defined in Exhibit 2.	The RSI Team shall provide all identified deliverables in a reasonably timely manner in accordance with the current, mutually agreed upon Project Plan and accepted by the appropriate (identified) County representative with such acceptance not to be unreasonably withheld.	For any deliverable that is not delivered in accordance with the defined acceptance criteria and in a reasonably timely manner by the RSI team, then the RSI team be provided five (5) business days to either remedy the issue or provide an acceptable plan for remedy (that may extend beyond the five days). Due to the collaborative nature of the solution and this ITPS project, it is recognized that RSI's ability to achieve deliverables will be dependent (in varying levels depending on the deliverable) on the County team. A project holdback of 5% with ½ released after R1 go live and remainder upon R2, as defined in Exhibit 2.
The RSI team helpdesk response time shall be at or below the response times listed as *Critical P1* priority.	Production operations affecting high impact business processes are down as a result of Licensed Software failing to function as specified in the contract. It has also been determined that no acceptable workaround to this issue exist to remedy the situation. **Corrective Action Timeframe:** Licensor will respond to Licensee within two (2) hours; Licensor will apply best efforts with the goal to resolve the issue within one (1) business day or a reasonable, agreed upon due date and time. Top priority will be given to the issue and all necessary resources will be immediately assigned. If applicable, an e-	Cook County's obligation to pay biannual payments for maintenance and support, as defined in Exhibit 2.

Service Requirements	Service Level Agreement (SLA)	Holdback
	patch will be released as soon as the issue has been resolved. RSI shall provide the following deliverables for each issue reported: • A Root Cause Analysis • Plan of Action • Remediation Plan	
The RSI Team helpdesk response time shall be at or below the response times listed as **Medium P2 priority.**	Significant product functionality impacting some business processes is not working as defined in the contract, however the majority of functionality and primary operations are working or the issue has been deemed less impactful than a P1. It has also been determined that no acceptable workaround to this issue exist to remedy the situation. **Corrective Action Timeframe:** Licensor will response to Licensee within four (4) hours; work around identified within one (1) to three (3) business days. Licensor will apply best efforts with the goal to resolve the issue within one (1) to three (3) business day or an agreed upon due date and time. RSI shall provide the following deliverables for each issue reported: • A Root Cause Analysis • Plan of Action • Remediation Plan High priority will be given to the issue and all necessary resources will be assigned to the issue. If applicable, an e-patch will be released as soon as the issue has been resolved.	N/A

Service Requirements	Service Level Agreement (SLA)	Holdback
The RSI Team helpdesk response time shall be at or below the response times listed **as Low P3 priority**.	There is a problem, but it does not significantly impact work because there is a mutually agreed upon short term workaround. **Corrective Action Timeframe:** Response to Licensor within one (1) business day; resolution of the issue to be included in the next product release yet to complete development. Reported issue is a "non-problem," for example, a request for service, "how to" questions, new feature suggestion, or requests for installation of application(s) on new equipment. Lower priority is given to the issue and the appropriate resources will be assigned to the issue. If applicable, an e-patch will be released as soon as the issue has been resolved. RSI shall provide the following deliverables for each issue reported: • A Root Cause Analysis • Plan of Action • Remediation Plan	N/A
Enhancement Suggestions (Submitted to RSI helpdesk) **Low P4 priority:** General System/Application/ User Support, Software Updates, and other Non-Warranty Items (including Application Support, Issue Resolution Due to County, etc.).	No SLAs Specific SLAs can be determined and finalized as part of a Post Go Live Support Agreement.	N/A

Note: The table outlined below may also be subject to performance credits as they are considered within scope. RSI will work with County in successfully meeting the acceptance criteria.

If a workaround agreed to by RSI and the County can be applied, then the priority may be downgraded to the next level.

i.　　　When a P1 issue occurs, RSI will use reasonable efforts to resolve the issue and bring the system back to a functioning state within 4 hours. RSI expects the following:

　　　　a.　The County to give unrestricted access to the system as well as provide the appropriate staff to assist in the resolution.

　　　　b.　The County establishes one senior level primary point of contact (e.g., manager or supervisor) that will:

　　　　　　i.　In conjunction with RSI support personnel, agree on Priority and action plan; and,

　　　　　　ii.　Provide a designated County person onsite to provide all coordination. This person must be trained on the Licensed Software and understand its specific Environment(s).

ii.　　　The County will perform first level triage and be able to provide RSI application logs along with any error messages in order to diagnose the issue.

iii.　　　If a P1 or P2 issue occurs and the County has not performed reasonable triage, to include ruling out Environment(s) issues, and requests RSI's support (either onsite or remote) then County may be liable for RSI's time and expenses if the issue is determined not to be caused by the Licensed Software.

Any delays caused by the County's triage/resolution activities are out of RSI's control, and will impact the issue resolution timeframe.

4.1.11 Contract Performance Review and Final Acceptance

a. RSI shall schedule a close out session 14 days after the 90 days onsite support period ends for the final software release, per release. RSI shall include in this meeting representatives from each business area and the Executive Steering Committee.
b. RSI shall establish a recurring contract performance review schedule. RSI shall review contract performance biannually, after Final Acceptance, during the years of support and maintenance.
c. RSI shall prepare an executive summary of raw data that explains service level compliance for the determination of holdbacks, data trends, and emerging and ongoing issues
d. RSI shall confirm the Go-Live dates and system warranty expiration date based on contract terms.
e. RSI shall abide to the following performance metrics:

Contract Performance Criteria	Description – acceptance criteria	Acceptance via
1. System reliability;	System architecture supports automatic load balancing, mirroring, and automatic failover to backup/DR location. It is understood that County is responsible for acquiring, installing and testing all infrastructure to support these features.	Form signed by PM and Project Sponsor (or emailed approved).
2. System functionality;	System requirements traceability to implemented functionality using the RTM as the basis for PM review. **Refer to Attachment - System Requirements Traceability Matrix (RTM).**	Acceptance Form signed by PM and/or Project Sponsor (or emailed approved).
3. System integrates with the existing technologies	System can successfully integrate with the recommended existing technologies, as defined in the RTM.	Acceptance Form signed by PM and/or Project Sponsor (or emailed approved)
4. Critical data is available in the new system;	Data in the existing "in scope" databases listed in the scope and assumptions is successfully migrated to the new system, and seamlessly integrates with all other system components.	Acceptance Form signed by PM and/or Project Sponsor (or emailed approved).
5. Project transition;	Vendor submits all acceptance forms for all deliverables – as accepted and signed at each phase, including UAT signed forms.	Acceptance Form signed by PM and/or Project Sponsor.
6. Budget and schedule;	Key deliverables were executed on time and on budget. Project costs were contained to/or about the originally agreed amount including any change orders. A final report should be presented for signoff.	Final Report signed by PM and/or Project Sponsor.

Preparation & Maintenance of the Implementation Plan, as referenced in Section 3.1 above, contains every task required leading up to and for performing the conversion and implementation. These tasks are jointly administered by RSI and the County. Tasks requiring modifications to or stoppage of existing legacy modules and processes are the responsibility of the County and are coordinated through this Implementation Timeline and any necessary meetings.

Production Ramp-Up Schedule – The Ramp-Up Schedule is a document containing a list of all of the offline processes that are executed by the scheduler. These may include mailings, billings, or refunds. As these items can be sensitive in nature during any cutover, they are monitored closely. RSI works with the County to select an acceptable number of records to execute once the system is in operation. The County will adjust to the new system in a reasonable manner, maintain control over volumes (manually or through business rules, if desired), and monitor the system for any items out of the ordinary.

Prepare & Maintain the Readiness Checklist – The Readiness Checklist is a high-level document that provides the team with the necessary assurance from the County that the production cutover may proceed. Unlike the Implementation Plan, which contains detailed tasks that need to occur leading up to conversion, the Readiness Checklist is broader in scope. It contains items such as acceptance of the system during Model Office Acceptance Testing, verification/cleansing of converted data during mock conversions, training completion and County change communication. Together with the County, RSI marks each item finished as they are completed leading up to the date of cutover/conversion.

Execute Conversion – As final data conversion executes, exceptions are written to a report (with codes and explanations) for review by the County. This same process would have been executed in the Mock Conversion in hopes that any fall-out was identified and fixed prior to Go-Live. The County is responsible for final signoff to confirm that conversion has completed accurately based on the reconciliation reports developed for the conversion and other specific checks. User training is coordinated prior to go-live. Technical training is also executed simultaneously during mock conversions and go-live runs so that County operations are familiar with batch control jobs and administrative tables in the production environment. Given the County team members' involvement throughout the project from design through testing, many key members of the staff will already be familiar with the system prior to formal training.

Deployment/Go-Live – The production system is effectively turned over to the County for use. RSI Team members are on hand to support the County with the initial transition and to support the users during the early weeks of operation. During each Release through Release 4, RSI will provide on-site support to troubleshoot implementation issues as well as provide software maintenance for baseline defects.

After all deployment activities are completed and the Revenue Premier system is live, the production environment will be monitored closely to determine if there are any issues to be addressed. Controlled production means taking daily checkpoints to understand performance of the system. Volumes of returns and payments for processing may be throttled at the start of production to acclimate the County to the new system. Processes are monitored closely to ensure that all activities are operating normally. Lastly, users are polled to ensure that the business of the County is being conducted as expected.

4.1.12 Project Closeout

Project closure is the last task of implementation in RSI's COTS Software Implementation Methodology. RSI has tailored its project closure methodology to address the needs for a COTS implementation of Revenue Premier.

As the project moves to closure, a Final Project Report, or Closure Report, will be presented. The Closure Report will be developed in conjunction with County personnel. The focus of Project Closure Report will verify acceptance of project closing work products including:

- Review Deliverable Acceptance Checklist
- Review Risk Register and Issue Log
- Turn over all system functions to operations
- Operation and Transition Plan
- Reallocate project resources, including staff, facilities, and equipment
- Closeout of financial accounts and contract
- Archive project documentation
- Document lessons learned of the project

5.0 SOLUTION OVERVIEW

RSI is recommending an On-Premise infrastructure solution for the Cook County ITPS as part of the base proposal. The ITPS implementation will include the hardware and software needed to support Tax Discovery functionality under this agreement.

High Level Overview of Revenue Premier's System Architecture

The key design principles upon which Revenue Premier is built include the following:

- **Extensibility** - the solution is customizable and extendible to meet County's needs.

- **Scalability** - the system can grow to meet increasing processing demands without changing the underlying software implementation.

- **Open Architecture** - the County can continue to leverage the underlying services to integrate with new technology. Revenue Premier is designed using SOA principles allowing future integration and expansion.

- **High Availability** - the system will be resilient to errors and failures and continue to run even if one or more components fail. In addition the system does not always need to be taken off-line to perform upgrades or run off-line processes.

- **Flexibility** - the product can easily be adapted to modify business processes, in particular via the openness, but also the business rules engine (see Services - Business Rules Layer below).

- **Upgradability** - RSI stands behind the product and customer-specific extensions will not be impacted when new features are released. Customers receive upgrades at no additional cost with Revenue Premier.

Revenue Premier is architected as an N-Tier solution, meeting the goals of the County for an industry leading COTS solution. Figure 5-1 describes how these components come together to achieve these goals, and concisely depicts the layers of the architecture.
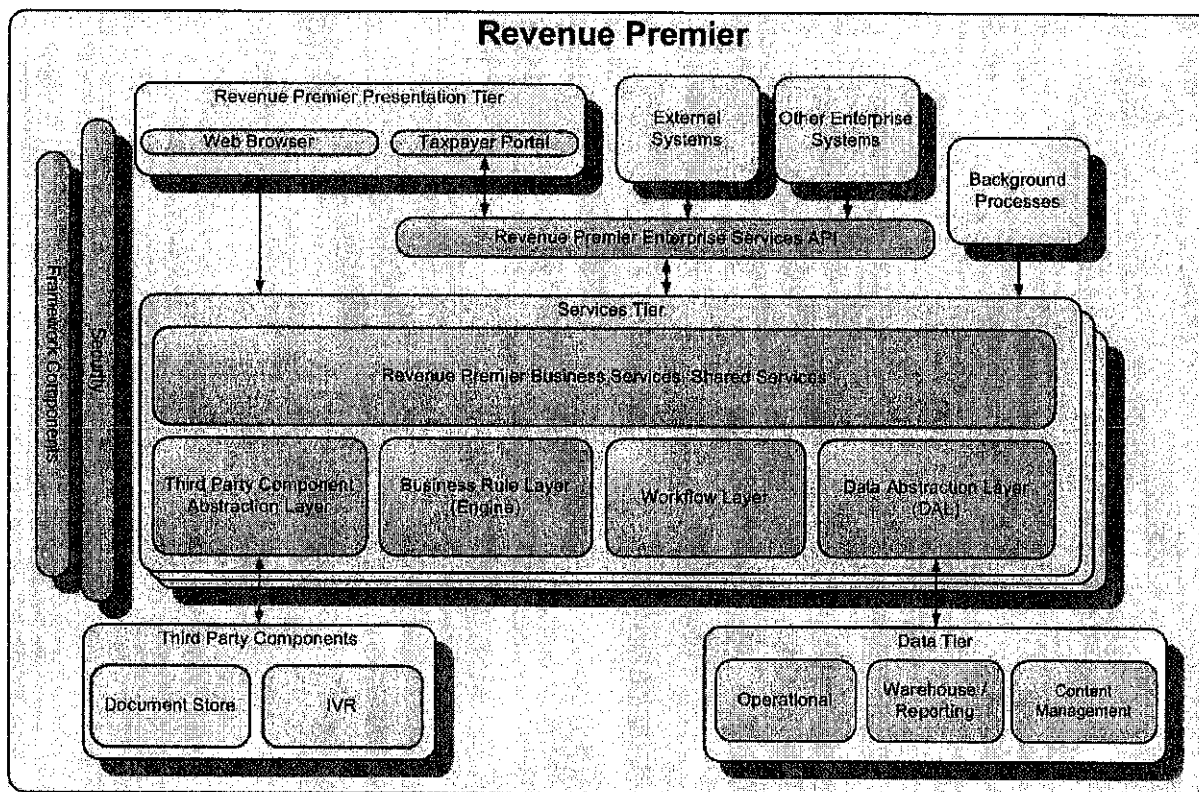
Figure 5-1: Revenue Premier System Architecture

**Revenue Premier is architected in separate tiers,
which enables integration with other systems and high availability.**

Presentation Tier

RSI's Revenue Premier User Interface (UI) for both staff and County customers is presented within a web browser. Significant user feedback from customers, collected during Usability Studies, was instrumental in the design of the UI. It was designed to provide a user experience similar to that of the Internet, making it easier for users to learn how to use and navigate Revenue Premier.

Enterprise Services API Tier

The Enterprise Services Tier provides Revenue Premier's Taxpayer Portal and third-party applications with access to Revenue Premier core functionality and data stores. Third parties may integrate with Revenue Premier by making calls through web services. This provides real-time access to Revenue Premier functions mediated by the Role-Based Access Control security model. The Enterprise Services API Tier enables maximum reuse and consolidation of existing IT assets and also provides additional security and mediation between enterprise consumers of the API and the Revenue Premier business services.

Services Tier – Revenue Premier Business Services

Revenue Premier's Business Services encapsulate all business logic contained within Revenue Premier. This business logic is reused for on-line, off-line, administration and public portal functions. Revenue Premier Business Services deliver functionality for the following:

- Taxpayer Registration
- Return/Payment processing
- Refunds
- Penalties and Interest
- Taxpayer Accounting
- Revenue Accounting

- Pre-Collections/Collections
- Auditing
- Bankruptcy
- Decision Analytics
- Reporting/Document Management

- Workflow Management
- Inventory Management
- Online Services
- Security
- Integration
- Tax Discovery

Services Tier – Third-Party Component Abstraction Layer

For non-tax administration specific business functions (correspondence, content management, business rules, address validation, etc.), RSI integrates third-party components in the Revenue Premier solution. These third-party components continuously evolve and improve in the marketplace driven by a larger, commercial user base. At any given time, what is determined "best of breed" becomes outdated and a new entrant to the market becomes the leader. Revenue Premier adopts all third-party component integration through an abstraction layer, which enables new products to replace old technology easily. This also enables our customers to leverage their own choices related to third-party products. For example, a customer recently required an alternative document engine. RSI was able to add a new adapter using the established API to utilize the new engine. RSI exceeded that customer's requirement. RSI's philosophy is one of leveraging best of breed products to offer customers the most robust industry-leading choices, and not one of constraining our customers to homegrown solutions or vendor-dictated preferences.

Services Tier – Business Rules Layer (Engine)

In enterprise business systems, business rules and policies change more frequently than the rest of the system. It is for this reason that modernized, enterprise-class software systems encapsulate these business rules within a Business Rule Management System (BRMS). A fully enabled BRMS solution, such as Revenue Premier, allows the County the flexibility to easily modify the solution, with or without vendor assistance, when the County's business rules change. So, within Revenue Premier, RSI provides a full tax system set of functions, for example, a tax return processing module or a refund module. The "how" something is processed, for example, how a tax form is validated and what may trigger review, are stored in business rules changeable by the agency.

By embedding a BRMS in Revenue Premier, RSI enables its customers to make faster, more consistent business decisions with business rules that are completely automated and stored in a central location. Our customers can also change rules quickly, providing greater business agility – developers or advanced business users can maintain business rules. FICO Blaze Advisor, our selected BRMS, executes rules based on the most advanced inferencing technology that benchmarks more than 300% faster than competitive engines at the highest levels of complexity.

The Blaze Advisor BRMS is a key element of the Revenue Premier architecture, which enforces a clean separation of business logic from other system concerns, such as presentation (screens) and persistence (data storage). Implementing business rules in this manner minimizes the impact of

business rule changes to the system, which maximizes the agility of the system and our customers' ability to stay current with changing business rules. This means that when business rules change, the County does not need to change the core Revenue Premier code base and does not have to wait for or rely upon a vendor; the business rule changes are contained within the Business Rule Engine Repository.

Through successful application of proprietary rule evaluation algorithms within Blaze Advisor and carefully designed rule deployment strategies, RSI has achieved optimal performance and scalability with business rules. Further, Revenue Premier business rules can be authored in the Blaze Integrated Development Environment (IDE) or by business users through web-based Rule Maintenance Applications (RMA). This ensures the County's business community has visibility into the implementation of business rules and reduces dependency on costly software development resources. These same business rules are used across all areas of Revenue Premier ensuring there is never dual maintenance of business rules.

Services Tier - Workflow Layer

Revenue Premier includes workflow functionality responsible for automatic case staging, case escalation and case assignment. Revenue Premier uses workflow for all work item types, including suspended documents, refund and invoice exceptions, overpayment and underpayment notifications, receivable staging and compliance case staging. As illustrated by the underpayment workflow example in Figure 5-2, business rules initiate work items. Workflow then progresses the work item through a series of stages based on the County's business rule processing requirements.
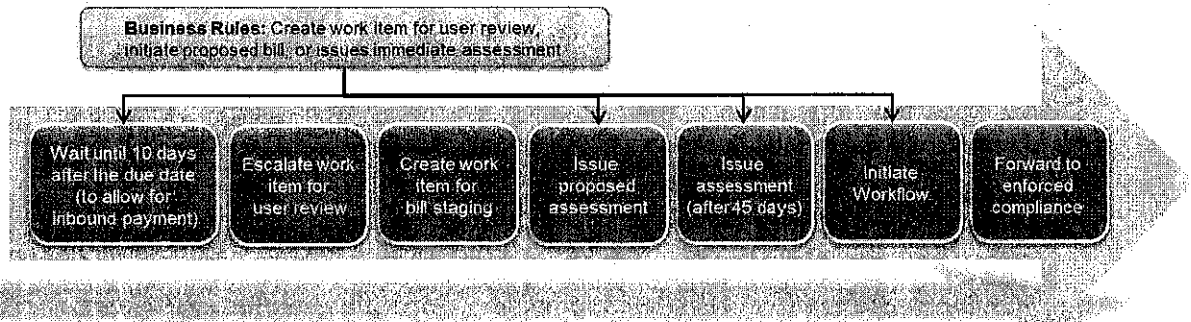
GT15-111

Figure 5-2: Revenue Premier Workflow Example

***Revenue Premier includes a cross-function workflow capability
that enables automated business processes with ease.***

Revenue Premier's ability to support multiple workflows, initiated by the County's business rules, allows tailoring the system for each filing and work item type to meet County's way of doing business. The system also provides the County with a complete picture of:

- Quantity of existing work items
- Work item status
- Quantity of problem work items that require additional resources.

At any point in time the County knows, for example, how many credits or refunds are queued for approval, how many bills are staged, how many correspondences were sent and how many mails were returned. The status of all work items is easily visible as shown in Figure 5-3 below.
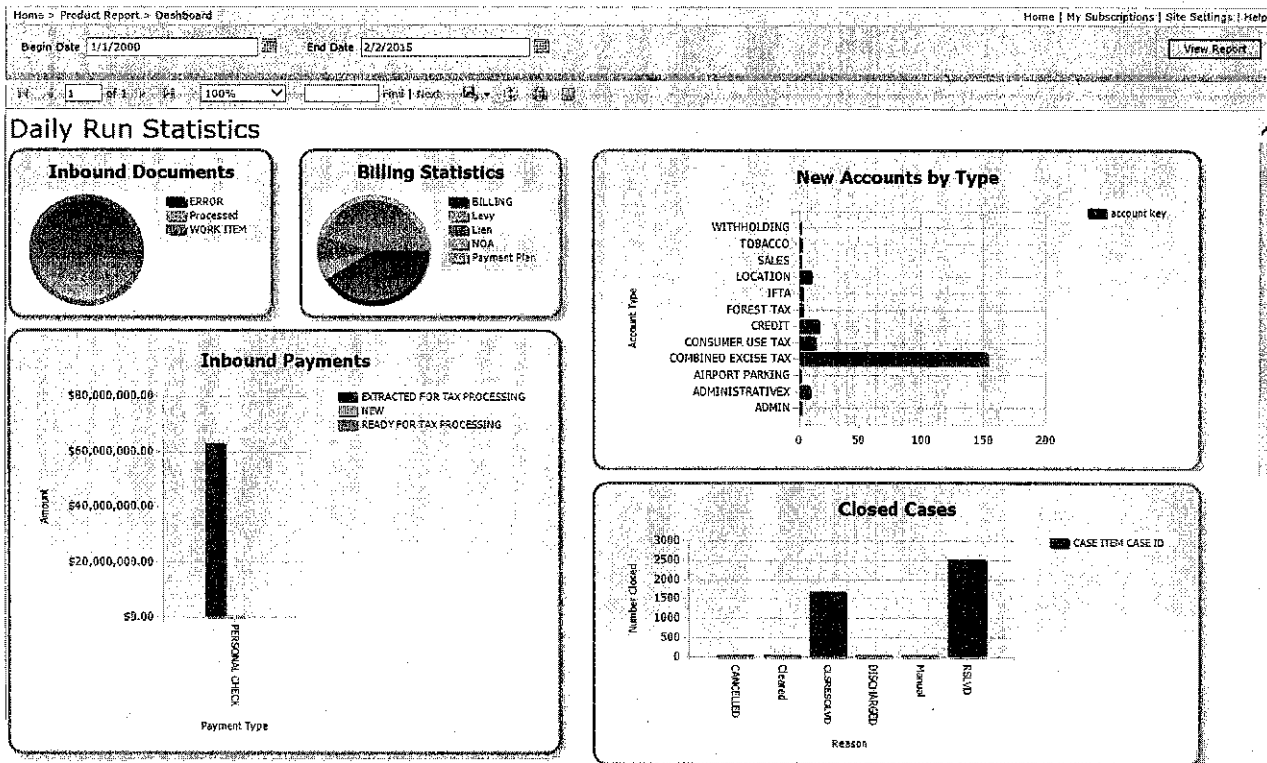
Figure 5-3: Workflow Status

The County has full awareness of how many work items are in the system and their status.

Services Tier - Data Abstraction Layer

The Data Abstraction Layer (DAL) contains the read, create, update and delete logic within the application. The DAL accesses information regardless of its location or storage format. The DAL is separated from the Business Services Tier so that it may focus on the concerns related to translating data from its storage into object data structures.

Data Tier

The data layer is responsible for the access to the physical database store. This layer retrieves, updates, and creates new records using SQL statements. Abstracting database access gives RSI the capability of "switching out" the underlying Revenue Premier database without losing any of Revenue Premier's functionality or capabilities.

In addition Revenue Premier's data model is open and available to all Revenue Premier customers. This is not the case with all COTS products. Revenue Premier's open data model can be extended through the use of User Defined data structures to better meet the County's needs going forward.

6.0 KEY STAFF

All staff will be assigned to perform the Services on such basis (e.g., full time assignment or otherwise) as needed to ensure that the Services are provided in workmanlike manner and in accordance with this Agreement. Key staff will devote his or her best efforts on the Project and be on site in accordance with the scheduled commitment stated in the table below. No re-deployment of any key staff may be made by RSI without the prior written consent of the County and made thirty (30) days in advance of re-deployment. RSI agrees to supply the key staff proposed for the duration of their proposed task assignment in the Workplan, throughout the Term other than for Just Cause. "Just Cause" is defined as death, medical disability, resignation, termination, or military recall.

For reference purposes, Table 6-1 outlines the staff assigned to the ITPS and Tax Discovery project along with their scheduled commitment. Key staff are named.

Table 6-1: RSI Roles and Responsibilities

RSI Project Role	Individual Approx. %	Responsibilities
Project Director	Paul Panariello R1 = 15% R2 = 10%	The RSI Project Director is responsible for client satisfaction and overall project success and will primarily be involved through the Project Steering Committee meetings and communication with the RSI Project Manager and other RSI staff. The RSI Project Director will also address issues regarding staffing, project scope, contract obligations, and critical risk management, as well as serve on the Project Steering Committee. In addition, the RSI Project Director will attend regularly scheduled meetings and will remain engaged throughout the project through regular communication with the RSI Project Manager, the County project stakeholders, and various other team members.
Project Manager	Michael Minton R1 = 100% R2 = 100%	The RSI Project Manager is responsible for project delivery. Primary responsibilities include project leadership, work plan development and management, staff management, project financials, issue/risk mitigation and resolution, quality management, deliverable acceptance, and client relationship management. The RSI Project Manager provides guidance for the configuration of the Revenue Premier product with respect to meeting the stated requirements, and achieve the stated objectives. The RSI Project Manager will work closely with the County Project Manager to plan, coordinate, manage, and report on project status, and will be a member of the Project Steering Committee.

RSI Project Role	Individual Approx. %	Responsibilities
Functional Lead	David Casey R1 = 100% R2 = 100%	The Functional Lead has overall responsibility for the business solution being delivered. Responsible for the management and successful completion of all deliverables related to the business solution including requirements confirmation, configuration and design, and system implementation. As a Revenue Premier product expert, this position will ensure the application of best practices leading to the successful implementation of the Revenue Premier software. As an in-depth expert in the architecture and design of the Revenue Premier software, and with knowledge of the business requirements, this role will navigate the RSI Team through the implementation of the County's processes and workflows. The Functional Lead will be the conduit for RSI personnel to the RSI Solution Center and Implementation Center and will be the liaison with other Revenue Premier Subject Matter Experts to leverage lessons learned from other client implementations.
Technical Lead	John Barron R1 = 50% R2 = 50%	The Technical Lead is responsible for the solution Infrastructure. The Technical Lead will be responsible for all technical deliverables and work products including the technical architecture, data security and integrity and hardware and software installation support. The Technical Lead will also be responsible for supporting the establishments of the various project environments (Development, Test, Production, etc.) by County staff. The Technical Lead is also responsible for performance test oversight.
Infrastructure Architect	Unnamed R1 = 50% R2 = 50%	The Infrastructure Architect works along with the Technical Lead to support the County's installation and maintenance of the hardware and software utilized for the overall solution and implementation. They are also responsible for security related tasks.
Build Manager	Unnamed R1 = 100% R2 = 100%	The Build Manager is responsible for determining which components are included in each software build and coordinating cross-team dependencies. The Build Manager administers the configuration management process, plans and procedures to ensure that the product is properly configured and that new code deployments are successfully tested.

RSI Project Role	Individual Approx %	Responsibilities
Product Specialist	Unnamed R1 = 100% R2 = 100%	The Revenue Premier Product Specialist is knowledgeable in aspects of the Revenuer Premier solution having worked on the development of the software and from direct involvement in multiple customer implementations. The product knowledge, along with practical customer implementation experience, enables the Revenue Premier Product Specialist to advise the RSI Team on lessons learned from other configurations and deployments. The Product Specialist co-ordinates support from the RSI Solution Center and the Implementation Center to research and resolve software issues that may arise or to suggest methods by which other customers implemented solutions for similar requirements.
Implementation Lead	Unnamed R1 = 100% R2 = 100%	The Implementation Lead is responsible for working with the Product Specialist and Functional Lead, and other RSI architects to define, prioritize and schedule technical and functional modifications. The Implementation Lead works with developers to implement the designs and works with the Quality Assurance team to ensure customizations meet requirements and quality standards/ In addition, this lead is responsible for the subset of functionality that requires on-site customization.
Business Rules Team	Unnamed R1 = 100% R2 = 100%	Working under the direction of the Revenue Premier Product Specialist and the Functional/Implementation Leads, this role is responsible for developing County specific business rule extensions for the ITPS.
Developers & Interface Analysts	Unnamed R1 = 100% R2 = 100%	Working under the direction of the Implementation Lead, this role is responsible for developing County specific reports, notices, interfaces and customizations.
Conversion Lead	Unnamed R1 = 100% R2 = 50%	The Conversion Lead is responsible for defining the Conversion Plan and executing the plan with the involvement of County resources. The Conversion Lead will apply best practices leading to the successful conversion of source data to the Revenue Premier software. The Conversion Lead is responsible for all aspects of data conversion planning, data mapping, data conversion software design and development, data conversion testing, and data conversion verification. The Data Conversion Lead will work closely with the designated County conversion liaison to formulate the data conversion strategy and to orchestrate the conversion(s) so as to be in sync

RSI Project Role	Individual Approx. %	Responsibilities
		with the phased implementation plan for the Revenue Premier solution.
Conversion Analyst	Unnamed R1 = 100% R2 = 75%	The Conversion Analyst supports the conversion lead in the mapping and development of legacy data into the new ITPS.
Training Lead	Unnamed R1 = 100% R2 = 50%	The Training Lead is responsible for the management and successful completion of the tasks associated with user adoption of the system. Responsibilities include assembling and tailoring the training material for the specific requirements of the County project, preparing the training environment and conducting the instructor-led training and train-the-trainer courses.
Testing Lead	Unnamed R1 = 100% R2 = 100%	The Testing Lead is responsible for the management and successful completion of testing related deliverables of the project. Also responsible for assisting the County in preparing the users for the roll out of the proposed solution. Working with the County and the RSI Team, the Test Lead will create and maintain the Test Plan. This position is responsible for managing test activities, overseeing the documentation of test conditions and development of test scripts, accumulating test progress, completing and reviewing test plans, conditions and scripts, and monitoring and reporting test progress. The Testing Lead will participate in the Test and Train Phase, providing support and guidance to RSI and County testers as they complete the various test phases.
Business Analyst / Test Analyst	Unnamed R1 = 100% R2 = 100%	The Business Analyst/Test Analyst supports the Test Lead in testing the system to verify that the configuration and development meets the requirements set forth by the team. Testing tools will be utilized to track progress, thus allowing the test lead to understand progress and status throughout the various testing phases.

Table 6-2 details the anticipated roles and responsibilities of County resources during each release of the project, including ITPS and Tax Discovery. The % Time Allocation is an estimate of the County's Resource's time allocation, for their particular period of participation on the project, based on the Project Schedule.

Please note that the technical roles identified are only needed if the County determines that they do not want to contract with RSI for all ongoing support of the system after implementation.

Table 6-2: Proposed County Project Personnel and Responsibilities

Role	Responsibility	County Resources	% Time Allocation (subject to project phase, tasks, and time line)
Executive Sponsor	Provide guidance, leadership and support for the ITPS replacement program.	1	10%
Project Manager	Responsible for overall management of the project, including delivery of the required changes to achieve the project benefits, within the defined schedule, cost, and scope.	1	100%
Executive Steering Committee	Overall program oversight, resolution of issues, program direction for multiple projects affecting the County.	3-4, depending on assignments by the Executive Sponsor	10%
Subject Matter Experts/ Testers	County subject matter experts for each functional area of the system including IT and Systems Administration areas who will be responsible for making decisions on behalf of the business community. They will also be responsible for attending iterative configuration sessions, clarifying requirements as needed and reviewing deliverables. These individuals will also participate in the System Testing and Model Office Acceptance testing and are expected to become Revenue Premier subject matter experts.	3-4	25-100% (Varies over time depending on project phase and specific project tasks)
Technical Lead	The Technical Lead establishes the technical environments, oversees hardware and software installation and oversees migration procedures to support interim and final software releases.	1	100%
Business Rule Analysts	Business rule authors utilize the BRMS of Revenue Premier to configure and test the business rules configured by the team and subject matter experts.	2	100% (if the County will provide ongoing support)
Application Developers	County developers support the gathering of legacy system inventories, if not yet complete, such as notices issued, forms processed and	2	Up to 100% (if the County will provide

Role	Responsibility	County Resources	% Time Allocation (subject to project phase, tasks, and time line)
	reference values, to facilitate requirements discussion and prepare for system configuration, conversion and interfaces. In addition, the County developers work to extract data for conversion and work closely with the conversion lead during the conversion processes		ongoing support) 100% for conversion activities
Model Office Test Lead	The Model Office Test Lead develops the project test strategy across the project, and participates in integration and conversion discussions to understand implementation details.	1	100%
Database Administrator	Administer the project databases. Contributes to performance test and performance tuning.	1	Up to 100% (if the County will provide ongoing support)

7.0 PAYMENT MILESTONES

In accordance with Exhibit 2 of the Contract, Table 7-1 defines the Tax Discovery and Modeling deliverables that will be produced by RSI. These deliverables reflect the work necessary to deploy the two recommended compliance programs and predictive modeling for either audit or collections.

Table 7-1: List of Tax Discovery Deliverables

RSI Methodology Deliverable	Description	Project Release
Completion of Data Load Package #1	Working with County staff, this task involves a review of available data sources, requirements definition for the mapping of the selected data sources to AIF (Agency Interface File) staging tables within Portfolio Warehouse, requirements definition for the mapping of data in AIF staging tables to the core warehouse tables, the execution of ETL (Extract, Transformation, Load) into the AIF staging tables, and Portfolio Warehouse's Associate and Grow (A&G) module to match and map data and the core warehouse tables. During the Release, this task will be repeated for each mutually identified data source (up to 2). Tasks related to design, configuration, testing, and deployment to production are included in the deliverable.	Release 1
Completion of Data Load Package #2	Working with County staff, this task involves a review of available data sources, requirements definition for the mapping of the selected data sources to AIF (Agency Interface File) staging tables within Portfolio Warehouse, requirements definition for the mapping of data in AIF staging tables to the core warehouse tables, the execution of ETL (Extract, Transformation, Load) into the AIF staging tables, and Portfolio Warehouse's Associate and Grow (A&G) module to match and map data and the core warehouse tables. During the Release, this task will be repeated for each mutually identified data source (up to 2). Tasks related to design, configuration, testing, and deployment to production are included in the deliverable.	Release 2

RSI Methodology Deliverable	Description	Project Release
Compliance Program #1	Working with County staff, this task involves developing and implementing the first mutually agreed to compliance program. A compliance team working in parallel to the data loading team, and in close collaboration with County staff, will develop the compliance program selections, tax assessment calculations, case flows, notices and interfaces to Revenue Premier. County staff will primarily be utilized during this task as subject matter experts to assist in requirements definition and testing validation as well as any system integration testing where necessary. RSI staff will primarily be focused on configuring and testing the core Portfolio Warehouse components.	Release 1
Compliance Program #2	Working with County staff, this task involves developing and implementing the second mutually agreed to compliance program. A compliance team working in parallel to the data loading team, and in close collaboration with County staff, will develop the compliance program selections, tax assessment calculations, case flows, notices and interfaces to Revenue Premier. County staff will primarily be utilized during this task as subject matter experts to assist in requirements definition and testing validation as well as any system integration testing where necessary. RSI staff will primarily be focused on configuring and testing the core Portfolio Warehouse components.	Release 2
Predictive Modeling Scope and Approach Document	This deliverable will elaborate on the scope and approach of the predictive model and will serve to confirm the high-level project requirements and implementation strategy for the model. The majority of this information will be elicited during the initial Requirements JAD sessions. This document will articulate the definition and use of the Collections or Audit Model, the definition of "good" performance, the data sources to be analyzed, the approach for risk scoring, the subsequent enforcement action analysis, and the implementation approach of the models.	Release 2

RSI Methodology Deliverable	Description	Project Release
Model Report Document	This deliverable will include a comprehensive document describing the Collections or Audit Model developed by the project. Specifically, this will include a description of each variable in the model and how it was obtained or calculated, a summary of the statistical methodology used to construct the model, and a performance table for the model that shows expected levels of performance.	Release 2
Collections or Audit Scoring, Case Prioritization and Treatment Work List Report Implementation	This deliverable will include the Production implementation of the Collections or Audit Model, the Collections or Audit Scoring Routine, and the Case Prioritization and Treatment Work List Reports. This will include deploying the code to the Production environment, performing an initial scoring run, and generating and distributing to Collection or Audit workers the Case Prioritization and Treatment Work Lists Reports. RSI will deliver all run-time code to support the repeatable process of scoring cases and producing Case Prioritization and Treatment Work List Reports.	Release 2

8.0 HARDWARE AND SOFTWARE

A hardware complex of Hewlett Packard (HP) hardware for servers and SAN storage will support the Revenue Premier software based on RSI's hardware and software recommendations. The equipment will be procured and installed, certified ready for use by County according the general specifications below.

42 U

KVM	1 U
7 x BL460 G9 servers 2 x 10 core procs – 20 cores per Server 256GB RAM Total Hyper-V provided as part of Windows DataCenter Licenses 2 processors / blade	10 U
Available Rack Space for future physical scalability	21 U
3PAR 7200 24 x 600GB 10K Drives 8 x 480GB SSD Drives Virtual Copy LTU	6U
3PAR Service Processor	1U
8-port SAN Switch	1U

Rack: Revenue Premier
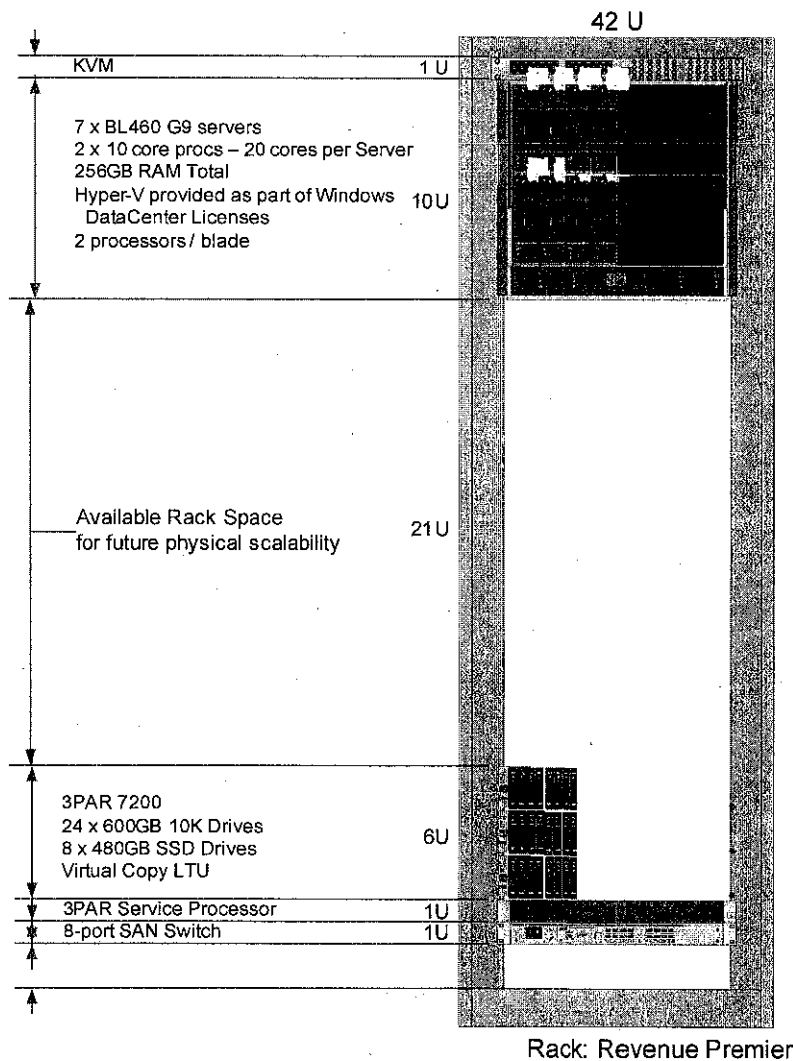
Figure 8-1 below shows the recommended computer and storage resource allocation and how the solution environments will be deployed. Load balancing and SAN switching equipment is included. County is responsible for all network, firewall, load balancing and VPN equipment.

Cook County Equipment Overview Diagram
Integrated Tax Processing System (ITPS) Implementation

Taxpayer and Practioner Access via Taxpayer Portal ~100,000 Filers

Internet / RSI Portal

DOR Staff/Internal Users (80) ~ Existing Workstations

Total Server Hardware:
(7) Blades
(14) Processors
(40) Virtual Machines
(4) Environments

County Network LAN / WAN

Project Workstations (8)

Production Environment
(4) Blades
(8) Processors
(20) Virtual Machines

Workstation   **Exception Scanner**

Development Environment
(1) Blade
(2) Processors
(11) Virtual Machines

Firewall/Load Balancer

Interface to IVR

Dev / Test / Sandbox Environment
(1) Blade
(2) Processors
(9) Virtual Machines

Note:
HP Equipment is proposed with its own rack space
Figure is a basic representative illustration of the infrastructure proposed

Interface from iNovah

Spare Environment
(1) Blade
(2) Processors

BLUE Labels – RSI Provided
BLACK Labels – DOR Provided

Storage Area Network (SAN)
11TB (Usable) Suggested

Figure 8-1: Allocation and Deployment of Hardware Solution

A Blade server solution for hardware is configured and is designed to support Hyper-V, as requested by County.

Each Virtual Machine (VM) Host accommodates between 4 and 8 virtual servers depending upon the final site configuration. Table 8-1 below shows configuration of suggested VM Hosts. It is the County's responsibility to configure the environment as indicated below, with RSI's review.

Table 8-1: VM Hosts

Physical Servers	Environment	Cores
VMHOST01	Production Revenue Premier	10
VMHOST02	Production Revenue Premier	10
VMHOST03	Production Revenue Premier	10
VMHOST04	Production Revenue Premier	10
VMHOST05	Production Revenue Premier & Taxpayer Portal	10
VMHOST06	Production Taxpayer Portal	10
VMHOST07	Production Taxpayer Portal	10
VMHOST08	Production Taxpayer Portal	10
VMHOST11	Non-Production Environments - Sandbox, Test and Development	10
VMHOST12		10
VMHOST13		10

Figure 8-2 below shows the distribution of virtual server machines (VM's) across the environments shown in Figure 8-2 below.

Cook County Data Center Infrastructure

Production

RPTP WEB SERVERS
1 Core
Windows 2012 Data Center
IIS 7.5
WebSphere Portal 8.0
WCM Delivery
[RPTPWeb01] [RPTPWeb02] [RPTPWeb03]

RPTP UTIL SERVERS
2 Core
Windows 2012 Data Center
[RPTPUtil01] [RPTPUtil02]

RPTP DATABASE SERVERS
8 Core
Windows 2012 Data Center
SQL Server 2012 Enterprise
[RPTPDB01] [RPTPDB02] [RPTPREPORTS1]

RPTP IIS SERVERS
2 Core
Windows 2012 Data Center
IIS 7.5
[RPTPIIS01] [RPTPIIS02]

Contained within DMZ

WEB SERVERS
2 Core
Windows 2012 Data Center
IIS 7.5
[ProdWeb01] [ProdWeb02]

APP SERVERS
3 Core
Windows 2012 Data Center
IIS 7.5
ASP.NET
Glassfish 3.0
FICO Blaze
[ProdApp01] [ProdApp02]

DATABASE SERVERS
8 Core
Windows 2012 Data Center
SQL Server 2012 Enterprise
[ProdDB01] [ProdDB02] [PRODREPORTS1]

OFFLINE SERVERS
2 Core
Windows 2012 Data Center
FICO Blaze
Automize
[ProdOff01]

UTILITY SERVERS
4 Core
Windows 2012 Data Center
SharePoint
EngageOne, UAM
Identity Resolution
[ProdUtil01] [ProdUtil02]

Sandbox

WEB SERVERS
2 Core
Windows 2012 Data Center
IIS 7.5
[SBWeb01]

App SERVERS
2 Core
Windows 2012 Data Center
IIS 7.5
ASP.NET
Glassfish 3.0
FICO Blaze
[SBApp01]

Offline SERVERS
2 Core
Windows 2012 Data Center
FICO Blaze
Automize
[SBOff01]

SHARED SERVERS
(SANDBOX, TEST, DEV)

DATABASE SERVERS
8 Core
Windows 2012 Data Center
SQL Server 2012 Enterprise
SQL Server Integration Services
[ShareDB01]

UTILITY SERVERS
4 Core
Windows 2012 Data Center
SharePoint
EngageOne, UAM
Identity Resolution
[ShareUtil01] [ShareUtil02]

TEST

Web SERVERS
2 Core
Windows 2012 Data Center
IIS 7.5
[TESTWeb01]

App SERVERS
3 Core
Windows 2012 Data Center
IIS 7.5
ASP.NET
Glassfish 3.0
FICO Blaze
[TESTApp01]

Offline SERVERS
1 Core
Windows 2012 Data Center
FICO Blaze
Automize
[TESTOff01]

Test RPTP SERVERS
4 Core
Windows 2012 Data Center
IIS 7.5
WebSphere Portal 8.0
WCM Delivery
[TESTRPTP01]

Test IIS SERVERS
2 Core
Windows 2012 Data Center
IIS 7.5
[TESTRPTPIIS01]

Test Util SERVERS
2 Core
Windows 2012 Data Center
[TESTUtil01]

Shared Servers

Development

WEB SERVERS
2 Core
Windows 2012 Data Center
IIS 7.5
[DevWeb01]

APP SERVERS
3 Core
Windows 2012 Data Center
IIS 7.5
ASP.NET
Glassfish 3.0
FICO Blaze
[DevApp01]

Offline SERVERS
1 Core
Windows 2012 Data Center
FICO Blaze
Automize
[DevOff01]

SDLC SERVERS
4 Core
Windows 2012 Data Center
Team Foundation Server
[DevSDLC01] [DevSDLC02]

BUILD SERVERS
4 Core
Windows 2012 Data Center
TFS Build Agents
[DevBuild01]

STAGE SERVERS
2 Core
Windows 2012 Data Center
Staging build of RPE
[DevStage01]

RPTP SERVERS
4 Core
Windows 2012 Data Center
IIS 7.5
ASP.NET
WebSphere Portal 8.0
WCM Delivery
[DevStage01]

Shared Servers

Figure 8-2: Virtual Machines Deployed Across Revenue Premier Environments

In addition to the server hardware discussed above, the ITPS solution leverages Storage Area Network (SAN) technology for all levels of disk storage. This includes database storage, file storage, OS images for servers, Image (returns, correspondence, etc.) files, log files, and project repositories such as SharePoint and Microsoft TFS. County will provide Commercial grade SAN technology as listed in Table 8-3 below. Note that 17TB of total usable storage is suggested.

Table 8-3: SAN Hardware Configuration Summary

Item	Quantity
HP 3PAR StoreServ 7200 Storage	1
600GB SAS HDD 2.5 in	32
480GB SSD 2.5 in	8
Drive Enclosure HP M6710	3
Usable Storage Proposed for Production	7.2TB
Usable Storage Proposed for Non-Production	10TB
Total Storage Anticipated	17.2TB

County will provide and install all system, environmental, Microsoft Office 365, other Microsoft software listed below to support the hardware and for use on site by either RSI or County team members.

<u>System and Environmental Software</u>:
- Windows Operating Systems
- SQL Server Database
- Virtualization Software
- Antivirus Software
- Backup/Restore Software
- Performance Monitoring Software
- Scheduling Software
- Document Management System Software (OnBase)
- SSL Certificates
- SharePoint instance for report distribution

<u>Project Team and Development Tools Software and Hardware</u>:
- SharePoint instance for project support
- Team Foundation Server
- Visual Studio
- Project & Project Server
- Visio
- Captivate
- (5) Workstations for project team members, including Office 365

9.0 REQUIREMENTS

RSI has assessed the Integrated Tax Processing System RFP requirements across all major functions and business processes (listed below in Table 9-1 below) and confirmed:

- That each of the core County business functions (and more) are met by Revenue Premier capabilities

- How the various modules and Shared Services of the Revenue Premier COTS software map to core County business functions

- How Revenue Premier will be implemented to provide the ITPS and Tax Discovery business functions.

Table 9-1 below maps the County's major business functions from the ITPS Requirements Matrix to: 1) the corresponding Revenue Premier modules that provide that functionality and 2) the Appendix D section(s) that describe the functionality in detail and provide applicable screenshots. The Revenue Premier functionality referenced in the table is further described in Appendix D.

Table 9-1: Revenue Premier Functionality Mapped to County Business Requirements

County Business Function	Revenue Premier Module	Appendix D Section
Tax Discovery	Portfolio Warehouse; Decision Analytics/Business Intelligence Framework	Tax Discovery

The ITPS System Requirements Matrix may be found in Appendix D.

Cook County Department of Revenue

APPENDIX A - PROJECT ROADMAP

Activity	Project Year 1 (1–18)	Project Year 2 (19–26)	Project Year 3 (27–33)
Project Management			
Project Management			
Organizational Change Management			
Technical Support			
Ongoing Technical Support			
ITPS Implementation			
Project Release	Startup — Release 1 — Release 1b — Warranty	Release 2 — Release 2b — Warranty	Warranty
Tax Discovery & Predictive Modeling			
Requirements Confirmation			
Data Loads			
Compliance Program Development			
Training & Knowledge Transfer			
Predictive Modeling			
90 Day Warranty			

APPENDIX B -SAMPLE PROJECT MANAGEMENT DOCUMENTATION

Sample documents have been provided to County and are referenced below (**See attachment Sample Project Management Documentation**)

The example Project Management Plan demonstrates the many project deliverables and artifacts, as outlined in Table 2-1.

All project management documentation shall be reviewed by the Cook County Project Manager and additional information may be requested to meet Cook County documentation and reporting requirements.

<Client Logo Here>

RSI

<Client Name>
<Project Name>
Issue Log

Issue ID	Status	Priority	Issue	Assigned to / Owner	Required Resolution Date	Escalation Required (Y/N)	Business Summary Impact	Actions / Next Steps	Stakeholders	Area Impacted	Release	Issue Type	Date Identified	Date Resolved	Action Required Date	WBS Impacted Items	Author	Resolution	Notes
Unique identifier for Issue tracking	Issue status from list.	Priority from list.	Short description of the issue	Name of person assigned to the issue.	Date issue needs to be resolved to mitigate impact.	Yes or No	Describe impact if issue is unresolved.	Actions needed to resolve issue.	Individuals and groups affected by the issue. Identify who needs to make decisions.	Functional subsystem or Technical Area impacted for grouping.	Impacted Release (1, 2, 3)	Provides categories for issues for grouping				Identify WBS item(s) impacted by the issue.	Who wrote the issue.	Resolution of the Issue.	Other comments.

12:40 PM 9/9/2015

Client Logo	<Agency name> <Project Name> Meeting Agenda	RSI

Date of Meeting:		Time:	
Location:			
Requestor:			

1. Purpose of Meeting

2. Meeting Preparation

Please Read:

Please Bring

3. Meeting Attendees

Name	Department/Division

3. Meeting Agenda

✓ **Agenda Item 1 –**
   o **Subtopic/Question**
✓ **Agenda Item 2 –**
✓ **Agenda Item 3 –**

4. Notes

✓ **Note –**
   o **Comment/Question**

5. Action Items /Decisions/Issues/Risks				
Type	**Description**	**Assigned to**	**Due Date**	**Response**
Decision to be made				
Action to be completed				
Issue				
Risk				

Status	Risk ID	Risk Title	Description	Risk Indicator / Symptom	Category	Probability	Impact	Exposure Level	Impact Description	Risk Response	Mitigation Action / Contingency Plan	Author	Date Reported	Owner	Due Date
Visual flag of risk status	Unique identifier for tracking the risk.	Short name for risk	Describe what might happen in the future and the possible impact on the project.	Describe what events or symptoms would indicate that this risk is about to occur or has already occurred.	Risk category / type.	1 - Low 2 - Medium 3 - High	1 - Low 2 - Medium 3 - High	Risk Priority from Probability and Impact	Describes specific impact risk could have on schedule, budget, scope, quality, other.	Describe how the project will respond to the risk.	Describe what has been done and what will be done in the future to respond to the risk.	Source of risk	Date when risk was identified.	Team member responsible for the risk.	Date when risk tasks are due.
	1	Not Enough Benefits	There is a potential that there will not be enough benefits to maintain the project or continue funding by the legislature.	Benefits funded projects only. Benefits realized by project are not accumulating according to plan.	Financial	1. Low	3. High	Medium	The contractor cannot maintain work due to lack of benefits or funding.	Regular reviews of actual versus forecasted benefits. Communication to Budget and Planning Office as well as legislative stakeholders about true benefits.	Revisit lower priority benefit programs. Reduce project scope or extend timeline of the project.	RSI Repository			
	2	Not Enough Confidence in Benefits Validity	Calculations to determine the benefits above existing baseline collections is likely to be complicated. Project leadership needs to be able to communicate benefits calculations in a simple and clearly competent way. There is a chance that confidence in benefits can be lost due to misunderstanding or other reasons.	Benefits funded projects only. Benefits realized by project are questioned by Agency as being inaccurate, unreasonable, or irrational.	Financial	1. Low	3. High	Medium	A loss of confidence in the accuracy of benefits could result in a loss of funding. It would also affect the confidence in the overall project quality.	Documented the methodology/approach. There are specific measurements by program being described. The department will speak to methodology when reporting benefits. Creation of a Benefits Committee to overlay realized benefits and will include participation of B&P.	If there is a item in confidence at study due to miscommunication. Further pointed efforts should be made to review the methodology with those parties and revisit any parts that are perhaps questioned. Referring to other benefits efforts may be useful as well	RSI Repository			
	3	Legislative Impacts to Collections	Ongoing legislative efforts to improve cash flow with tools such as Amnesty or tax holidays can compete with or complicate project collection efforts.	New legislation related to collection activities.	Financial	2. Medium	2. Medium	Medium	Accounting for variables such as amnesty or other expected collection events will make project benefits calculation more difficult and at risk for error.	Continuing to outside entity for doing amnesty could reduce impact.	If legislation is passed that will impact project benefits then project leadership will have to revisit projections and possible system related effects.	RSI Repository			
	4	Resource Constraints For New Collections Initiatives	It is possible that at times there will not be enough resources or the right type of resources to work increased collections due to project benefit efforts.		Personnel / Staffing	2. Medium	2. Medium	Medium	Not having enough resources to work new collection efforts can slow the benefits accrual and impact the project and impact customer experience. Other efforts including escalation and resolution of limitations may also be impacted.	Leads for the project are managers and administrators who are working to backfill their responsibilities. Adjusting indexes to reduce impact on call center during busy times. Resources should be monitored and shifted to highest priority areas.	Management will have to determine cost/benefit for which efforts have the highest priority and should recover resources.	RSI Repository			
	5	Project Negatively Impacts Existing Processes	The work to implement the project may cause existing work to suffer due to being spread too thin or having conflicting priorities.		Personnel / Staffing	2. Medium	1. Low	Low	Errors or setbacks in existing processes due to the project can cause staff frustration and negative views of the project.	Resources and processes should be monitored. New project efforts should be understood well enough to be able to visualize the resource impact.		RSI Repository			
	6	Lack of Business Edits Knowledge	There is not enough knowledge to recreate existing business rules in the new system due to either an inability to extract them from existing systems or simply lost organizational knowledge.	Resources related to existing business rules remain unanswered.	Project Delivery	1. Low	2. Medium	Medium	Systems will either be incorrect or the project will have to revisit existing business rules multiple times.	Subject matter experts have been identified in several areas. In work areas, backups have been identified such as in system knowledge for Tier and Battery Five. Need to identify potential business rules as early as possible to allow time to ensure the right SMEs are identified.		RSI Repository			
	7	Local Sales Tax Complexity	Distributions to local entities is complex and takes time the way they are currently done.		Image / Political Climate	1. Low	3. High	Medium	Local government entities can have incorrect deposits if implemented incorrectly in the new system.	Have good monetary information to compare against actuals.	Evaluate sales tax processing and business rules during Configuration and Design phase.	RSI Repository			
	8	Significant Sales Tax System and Process Changes	The most drastic process and system changes will likely be in sales tax. Sales tax staff may have difficulty with the extensive changes and implementation of sales tax has a higher risk of error.		Project Delivery	1. Low	2. Medium	Medium	If sample, design, or conversion is done improperly, significant problems with sales tax distribution and other functions could occur that would be very painful and financially detrimental to distribution recipients.	Must ensure sufficient expertise is present at analysis sessions during R2.	Assign a single point as an Agency IT groups. Include Agency IT support functions (email, network, active directory, servers, etc.) in all steps of the project.	RSI Repository			
	9	Employee Buy-In	There may not be enough buy-in for effective process change or system acceptance.		Personnel / Staffing	1. Low	1. Low	Low	Lack of order buy-in can result in a more difficult implementation and business disruption.	In order to avoid disruption, there should be several communication mediums that involve employees including layoffs, wikis, updates, and role responsibilities. In areas impacted early, managers have closely monitored and discussed the project.	Providing several communication mediums including layoffs, wikis, updates, and role responsibilities.	RSI Repository			
	10	Effective Communication Among IT Groups	Communication with IT is sometimes difficult given its infrastructure and functional areas rather than a main agency areas.		Project Delivery	2. Medium	2. Medium	Medium	Poor communication / handoffs between IT groups can result in a lack of continuity and quality. This usually results in greater rework due to errors or unintentional roadblocks waiting on dependencies to be completed.	Assign a single point as an Agency IT groups. Include Agency IT support functions (email, network, active directory, servers, etc.) in all steps of the project.		RSI Repository			
	11	Appropriate IT Skills	IT resources assigned to work may lack skills required for tasks assigned to them due to availability of enough for any of resources with those skills. Skills may be in a SQL development, web application architecture development, report writing, business analysis, business rules, and others.		Personnel / Staffing	2. Medium	2. Medium	Medium	Lack of skills or the appropriate resource will result in errors or minimally delays that will impact timeline. This is especially a concern during efforts related to benefits collection.	Closely follow the technical needs of the benefits team and work to maintain positive relationships. (hence is detailed discussion)	Identify any effort for the end of each release and the end of the project. Leverage training where needed. Start knowledge transfer early to identify problem areas.	RSI Repository			

Status	Risk ID	Risk Title	Description	Risk Indicator / Symptom	Category	Probability	Impact	Exposure Level	Impact Description	Risk Response	Mitigation Action / Contingency Plan	Author	Date Reported	Owner	Due Date
Value (flag of risk status)	Unique identifier for tracking the risk.	Short name for risk	Describe what might happen in the future and the possible impact on the project.	Describe what event/s or symptoms would indicate that the risk is about to occur or has already occurred.	Risk category / type.	1 - Low 2 - Medium 3 - High	1 - Low 2 - Medium 3 - High	Risk Priority from Probability and Impact	Describe specific impact (schedule, scope, quality, other).	Describe how the project will address the risk.	Describe what has been done and what will be done in the future to respond to the risk.	Source of risk.	Date when risk was identified.	Team member responsible for the risk.	Date when risk tasks are due.
	12	Administration Change	A change of administration can result in loss of support of project or minimally a significant amount of time reeducating.		Image / Political Climate	1. Low	3. High	Medium	Loss of support of this project can ultimately result in tax need to funding or reallocation of needed resources. Reeducation leaves an opportunity for miscommunication that can result in delays and time reallocation for management resources.	Create and gather high level project explanation materials to be provided at quick notice.		RSI Repository			
	13	Loss of Legislative Support	Possibility of support for the project by the legislature being lost during any session before the completion of the contract.		Image / Political Climate	2. Medium	3. High		Loss of legislative support could lead to loss of project funding.	Provide information wherever possible to ensure the benefits of the project are well known to key legislators. Hold back on efforts that have a higher risk of being construed negatively by the public if miscommunicated.	If loss of support results in an impact to funding, project management will need to determine the best route given their financial resources available. A public relations effort may be engaged if determined the environment allows.	RSI Repository			
	14	Negative Public Feedback from Collections Programs	Increased collections efforts from new benefits programs are viewed negatively by public.	Collections Projects Only	Image / Political Climate	1. Low	2. Medium		Improper public may contact their legislators to complain which in turn might affect legislative support.	Change the way notice and/or contact is to that of the responsible party rather than the business address. Refine filters to ensure responsible parties are more valid leads. Increase communications among Agency management and inbound staff to make them aware of the possibility of calls and how to address them. Prioritize efforts to undertake areas more likely to comply.		RSI Repository			
	15	Turnover in IT	The risk of turnover in IT has specific implication for certain staff and specific points of time. Staff leaving can impact conversion and features rule development by losing system knowledge.		Project Delivery	2. Medium	2. Medium	Medium	Loss of system knowledge can result in either the contractor having to dig into systems themselves - increasing scope, time and cost; or there may be a system where knowledge that is completely lost which results in an inaccurate implementation in that business area.	Agency needs to identify backup staff in key areas. Determine and monitor turnover risk. Identify potential future losses due to retirements.	If there are not enough Agency staff to do the work, then either project scope or timeline will need to change. Or other contract staff may have to be acquired to do relevant tasks. RSI could provide additional support by contracting more resources to the project or ongoing operational roles.	RSI Repository			
	16	Turnover in Key Business Positions	The risk pertains to turnover in agency leadership, key personnel, or individual in project level roles.		Personnel / Staffing	2. Medium	2. Medium	Medium	Changes in agency leadership in key project roles can result in lost project knowledge or delays while getting new individuals familiar with the Integrated Revenue System.	Need to ensure there is cross knowledge for key positions. Keep documentation of project decision history.		RSI Repository			
	17	Staff Burnout	Current processes or project efforts suffer due to staff stress.		Personnel / Staffing	1. Low	2. Medium	Medium	Increased absenteeism, lower quality work, mistakes, and all symptoms of burnout and also will impact project and also will impact project consequences.	Free split to focus on new project and overall utilize staff as completely as possible to reduce putting too much on too few.	If burnout is determined to be occurring and significant impacts to the project are being seen, management will have to determine the best direction given the stage of the project including even putting a pause on project efforts.	RSI Repository			
	18	Loss of RSI talent to other contracts.	New RSI engagements can cause an impact to the projects RSI resources.		Personnel / Staffing	3. High	2. Medium		Loss of personnel can impact knowledge continuity, have knowledge continuity, have to contract new, have the possibility that qualified replacement, and possibly disrupt project processes.	Refer to contract terms regarding staffing and key resources. Please find text here.	If significant amounts of contractor talent transferring are determined to be a project problem, a meeting with RSI project and executive management should occur to resolve personnel concerns.	RSI Repository			
	19	Legislative changes impact project scope.	New laws are passed that impact the scope of the project.	New bills in the legislature that effect tax law or tax processing.	Project Delivery	2. Medium	2. Medium	Medium	Changes greatly depending on the statute being passed.	Accept risk.	Create a separate risk for each piece of legislation that is likely to be passed. The Agency assigns individuals to monitor the Legislature in case new laws being that may impact the project. There likely to be passed should be added to the risk register as needed.	RSI Repository			
	20	Conversion Data Integrity	Data integrity for the new system and registration data will be bad.		Technology	3. High	3. High		Poor data integrity of converted data will result in increased manual data in the new system.	Convert less data, clean up prior to conversion. Test extensively.		RSI Repository			
	21	Enterprise Content Management - Vendor Change	The Agency may change ECM vendors.		Technology	3. High	3. High		A change to the ECM vendor may require rework of the interface being developed for the new Revenue System.			RSI Repository			
	22	IE 8 Compatibility	Internet Explorer 8 will become "ie-2".	Agency uses Internet Explorer 8 as the default web browser.	Technology	2. Medium	1. High		IE 8 is the current version used by the Agency and is already "ie-1". The contract only requires support for "n" and "n-1", therefore another new version will move IE8 out of the required to be supported group.			RSI Repository			
	23	Slow Network Performance	Network performance will be too slow to adequately support the new system.		Technology	2. Medium	2. Medium	Medium	Bandwidth considerations in the remote offices may impact the user experience as that bandwidth is being shared with all other users in that locations and there is that locations and there is poor network then the rich content being served up.	Limit other things that utilize bandwidth or purchase more bandwidth.		RSI Repository			
	24	Core Technology Changes - Mainframe Upgrades	Upgrades to the mainframe may cause significant issues with legacy applications.	Agency legacy system runs on a mainframe and the agency is about to install software upgrades during the project.	Technology	3. High	1. Low	Medium	The ZOS operating system is updated annually. Other mainframe software has the potential to be upgraded as well.			RSI Repository			

CONSOLIDATED

Status (Trend/flag of risk status)	Risk ID (Unique identifier for tracking the risk)	Risk Title (Short name for risk)	Description (Describe what might happen in the future and the possible impact on the project)	Risk Indicator / Symptom (Describe what events or symptoms would indicate that this risk is about to occur or has already occurred)	Category (Risk category / type)	Probability (1-Low 2-Medium 3-High)	Impact (1-Low 2-Medium 3-High)	Exposure Level (Risk Priority from Probability and Impact)	Impact Description	RSI Response	Mitigation Action / Contingency Plan	Author (Source of risk)	Date Reported	Owner (Team member responsible for the risk)	Due Date (Date when risk tasks are due)
	25	Enterprise Content Management - Volume Too High	The volume of new documents in Electronic Content Management (ECM) system may be too high.		Technology	1. Low	3. High	Medium	Revenue Premier will add a large number of additional documents to the ECM system. This may cause issues with searching or indexing the content.			RSI Repository			
	26	Aging Developer PCs	Developer PCs will be inadequate to run the development software required to support the system.		Technology	1. Low	2. Medium		Developer PCs are aging and may be insufficient to run the software required to support the new system.			RSI Repository			
	27	Aging User PCs	User PCs will be inadequate to run the new system.		Technology	1. Low	2. Medium		User PCs are aging and may be insufficient to run the new system software.			RSI Repository			
	28	Core Technology Changes - IPv6	IPv6 may cause significant issues with the new system.	Agency networks uses IPv6 and has components with IPv6.	Technology	1. Low	2. Medium		IPv6 will cause the network topology to change which affects the system.			RSI Repository			
	29	Core Technology Changes - Server Infrastructure Changes	Server infrastructure changes may cause significant issues with the new system.		Technology	2. Medium	1. Low		Server infrastructure changes happen during the project due to technology changes and as customer needs change.			RSI Repository			
	30	Core Technology Changes - SQL Server Upgrade to 2010	SQL server upgrade may cause significant issues with the new system.	Microsoft issues a SQL Server upgrade during the project.	Technology	1. Low	2. Medium		SQL Server software must be upgraded to stay supported.			RSI Repository			
	31	Core Technology Changes - Server OS Upgraders	Server OS upgrade will be changed significant issues with the new system.	Microsoft issues a Server OS upgrade during the project.	Technology	1. Low	2. Medium		Server OS software must be upgraded to stay supported.	Defer Server OS upgrades until after RSI has certified Revenue Premier on the new version.		RSI Repository			
	32	Core Technology Changes - Windows 8 Upgrade	Windows 8 upgrade may cause significant issues with the new system.	Agency uses Window 8 on the desktop.	Technology	1. Low	2. Medium		RSI Windows software must be upgraded to stay supported.			RSI Repository			
	33	Core Technology Changes - Windows XP Demise	Windows XP workstations will stop being supported.	Agency uses Windows XP on the desktop.	Technology	1. Low	2. Medium		RSI Windows software must be upgraded to stay supported.			RSI Repository			
	34	Non-compliance of Standards	The contractors may not follow Agency and project standards.		Technology	1. Low	2. Medium		Agency and Project standards are not followed, the system will be more difficult to support.		Quality reviews occur throughout the project. This include peer review and code reviews for site specific customization.	RSI Repository			
	35	Temporary Interfaces	Temporary interfaces are being developed to support the project.		Technology	1. Low	1. Low		Temporary interfaces may only be temporary may need to be the short use of resources. Temporary interfaces may become permanent when they were not designed that way.		Temporary interfaces will be evaluated for each release and removed as soon as practical.	RSI Repository			
	36	Administrative/Management Turnover	Key Agency management may leave during the project.	Key Agency management resign or become unavailable to the project.	Personnel / Staffing	3. High	2. Medium	Medium	May result in delays to the project. Key decisions or approvals may not be made in a timely manner.			RSI Repository			
	37	Current Processing Resources	Current processing may interfere with project due to staff resources being needed for tool.	Agency personnel assigned to the project are not available, or are unable to accomplish assignments in a timely manner.	Personnel / Staffing	3. High	2. Medium	Medium	May result in delays to the project.			RSI Repository			
	38	Staff Turnover	Key Agency staff may leave during the project.	Key Agency personnel resign or become unavailable to the project.	Personnel / Staffing	3. High	2. Medium	Medium	Some knowledge regarding current system functionality and business rules may be lost and the project may cause delays in the project as questions cannot be answered in a timely manner.		Project Communication Plan, as defined in the Project Management Plan, will include Agency IT as a stakeholder to receive targeted communications about the project.	RSI Repository			
	39	Inadequate Documentation	Agency documentation of current legacy system may be inadequate.	Documentation of the legacy system does not exist, is outdated, or poorly maintained.	Personnel / Staffing	2. Medium	2. Medium	Medium	Inadequate documentation of the current legacy systems may cause delays in the project as questions cannot be answered in a timely manner.			RSI Repository			
	40	Lack of Communication	Agency IT may not be kept informed of project activities.		Personnel / Staffing	2. Medium	2. Medium	Medium	May result in delays to the project, may cause morale issues, may cause lack of functionality in the new system.			RSI Repository			
	41	Inadequate Documentation	Documentation of the new system may be inadequate.	Agency IT personnel have concerns about the documentation for the new system.	Personnel / Staffing	1. Low	3. High		Inadequate documentation of the new system may result in a degraded level of support for Agency IT.		Review available documentation on Revenue Premier with Agency IT staff during training and system implementation.	RSI Repository			
	42	Knowledge Transfer	Knowledge transfer to Agency IT staff may be inadequate or not timely.	Agency IT staff are not able to perform tasks in the new system independently.	Personnel / Staffing	1. Low	3. High		The Agency may not receive desired level of support from the Agency IT staff. This May cause morale issues.		If training occurs throughout the project, the Agency should assign IT personnel to the project team from the beginning of the project. Hands on experience and on-the-job training as created in the project proposal and executed using the project training plan.	RSI Repository			
	43	Staff Resistance	Agency IT staff may resist participating in the project.	Agency IT staff refuse to participate or obstruct project progress.	Personnel / Staffing	1. Low	1. Low		May result in delays to the project.	Project team will notify Agency Management of any issues regarding obstruction early and often.	The Agency is responsible for managing Agency IT staff and will need to resolve the problems and address the concerns of the individual(s) involved.	RSI Repository			
	44	Legacy Changes	Legacy systems will be changed during the course of the project.	Changes are required to the legacy systems while the project is underway.	Project Delivery	3. High	2. Medium		May result in rework on project, may cause resource may be pulled away from project.	Changes to the project scope must follow formal change management processes.		RSI Repository			
	45	Competing Projects for Agency IT resources	Resource contention with other Agency IT projects with individuals assigned to the project.	Other projects may be mandated as a higher priority.	Project Delivery	2. Medium	2. Medium		May result in a reduction of available staff/resources or delays in the project.			RSI Repository			
	46	Competing Agency Priorities	Other projects/systems supported by the Agency may take precedence.	Other projects may be mandated as a higher priority.	Project Delivery	2. Medium	2. Medium		May result in delays to the project.			RSI Repository			
	47	IRS Safeguard Audit Findings	IRS Safeguard audit findings may impact scope.	IRS Safeguard audit occurs during the project.	Project Delivery	1. Low	3. High	Medium			Revenue Premier and Portfolio Warehouse have undergone IRS Safeguard audits at other Agencies. Lessons learned at these agencies have been incorporated into the product. Safeguard audit findings that impact how the Agency code business must be reached in a way that minimizes the overall impact to the project team and schedule. Changes in scope will go through a formal change management process.	RSI Repository			

Status	Risk ID	Risk Title	Description	Risk Indicator / Symptom	Category	Probability	Impact	Exposure Level	Impact Description	Risk Response	Mitigation Action / Contingency Plan	Author	Date Reported	Owner	Due Date
Visual flag of risk status	Unique identifier for tracking the risk	Short name for risk	Describe what might happen in the future and the possible impact on the project.	Describe what events or symptoms reveal/indicate that the risk is about to occur or has already occurred.	Risk category / type	1 - Low, 2 - Medium, 3 - High	1 - Low, 2 - Medium, 3 - High	Raw Priority from Probability and Impact	Describes specific impact: risk could have on schedule, budget, scope, quality, other.	Describes how the project will address the risk.	Determine what risks been done and what will be done in the future to respond to the risk.	Source of risk.	Date when risk was identified.	Team member responsible for the risk.	Date when risk/action is due.
	48	Scope Creep	Systems that are currently out-of-scope may change to be in-scope.	Agency requests a change in requirements.	Project Delivery	1, Low	2, Medium		May result in delays to the project.	A Scope Management Plan and Change Management Plan define how to handle changes to project scope and obtain approval to implement changes.	Requirements are confirmed during project initiation. During this time the Agency has the opportunity to review the requirements documented in the RFP and identify changes in scope early in the project.	RSI Repository			
	49	Chris Security for People System Functionality	Data may not be properly secured in public-facing portions of the system.		Security	1, Low	3, High	Medium	May result in improper data access.		The Agency will perform a intervention security review of the new system to ensure it adheres to Agency security standards and policies.	RSI Repository			
	50	IRS Pub 1075	Pub 1075 may have major changes.	IRS issues a new version of Publication 1075.	Security	1, Low	2, Medium		May result in delays to the project.	Agency has at least a year to conform to the new Pub 1075 standards.	Managed according to the Scope Management Plan.	RSI Repository			
	51	Disaster Recovery / System Redundancy	In the unlikely event of a catastrophic failure, restoring function could be difficult at best and delays could be significant.		Disaster	3, High	3, High		This system is not part of the Disaster Recovery/Business Continuity planning for the Agency.		Develop disaster recovery plan as part of Integrated Revenue System project.	RSI Repository			
	52	DR Timeliness	Disaster recovery, business continuity response, may not be timely.	Disaster occurs and the project team cannot continue working.	Disaster	3, High	2, Medium		May result in delays to the project.		Discuss with Agency (if they want to accept this risk or develop and implement a disaster recovery plan for the project.	RSI Repository			
	53	Hardware Failure	Pre-production or production hardware components used by the new system or by the project team to support and implement the new system fails.	Hardware component fails. This could be any component on a server, load balancer, SAN, switch, router. Prevent, IDS that has an impact on system performance or availability.	Assets	1, Low	2, Medium		Development or production environments become unavailable or performance is significantly degraded that it impacts team productivity and costs.	The Agency IT team will monitor servers, OS, and network devices for alerts and warnings on hardware and proactively respond to correct or replace the failing component(s).	Hardware components that could impact the project team or production environment will have inherent redundancy in the device when possible or in the architecture. The Agency is responsible for providing a fault tolerant network architecture. Recommended redundancy for server and server architecture include: • Redundant server memory • Redundant power CPUs • Redundant server power supplies • Redundant virtual machines (web, application, office application, utility) with virtual machine clustering and load balancing • Redundant virtual machine hosts • Redundant hard drives in the SAN – standard disk redundancy based on the RAID classification along with hot spares per disk group • Redundant SAN controllers • Redundant network switches, load balancers, and security devices (intrusion detection devices) • Disaster recovery plan with a redundant / production solution Agency executed daily backup and weekly full backup of project servers such that team can restore in the event of failure.	RSI Repository			
	54	UNAX Incident – Knowing or disclosure violation	RSI employee, contract employee or subcontractor is discovered to have browsed or disclosed confidential taxpayer information.	Person observed, or admits to, browsing or disclosing taxpayer information.	Security	1, Low	2, Medium		Impact will depend on the scope and scale of the violation. Violation could cause the project to be cancelled.	Document incident. Immediately notify RSI Chief Financial Officer, RSI Project Manager, and Chief Project Manager. Determine response and corrective action plan with client. This will depend on the nature of the disclosure.	All RSI employees, contract employees and subcontractors are required to take UNAX training annually and sign terms agreeing to compliance to the law. All team members must sign non-disclosure agreements before starting on the project.	RSI Repository			
	55	UNAX Incident – Accidental disclosure of taxpayer information to RSI by agency personnel	Agency personnel send taxpayer information to an RSI email address by incident.	RSI employee notifies supervisor, Executive VP, or project manager that they have received confidential taxpayer information in their RSI email account.	Security	2, Medium	1, Low		RSI will need to purge the taxpayer information from the email system and the computer that received the email. RSI will have to provide the Agency with proof that the information was properly disposed.	Document incident. Immediately notify RSI Chief Financial Officer, RSI Project Manager, and Chief Project Manager. Determine response and corrective action plan with client. This will depend on the nature of the disclosure.	RSI project team is provided with Agency email addresses. All non-confidential project related email should be sent to the RSI email account, rather than the RSI email account.	RSI Repository			
	56	Jobsec Breach	The Agency experiences a security breach.	Agency Information Security monitoring team notices project team of information security breach.	Security	2, Medium	2, Medium	Medium	The project will vary based on the scale and scope of the breach especially if confidential taxpayer information, or accounts with administrative credentials are compromised.	RSI project team will support the Agency in their InfoSec response. The event response will depend on the nature of the incident. RSI will follow the Agency's InfoSec incident response procedures if they have been provided to the project team.	RSI project team will train the RSI project team on their information security standards and procedures. • Project work will occur primarily on Agency computers and networks. Remote users will use computers that are current and conform to the Agency's current software with version and virus profiles. Project related work use Agency email accounts whenever available. • Project team will conform to Agency information security standards and procedures. • Taxpayer information will be encrypted at rest and in transit. • Users with access to taxpayer data or have administrative access rights will use complex passwords that conform to Pub 1075.	RSI Repository			
	57	Unauthorized access to the system	Unauthorized access to the system occurs either by an internal or external source.	Unusual activity occurs, system performance degrades, or intrusion detection / intrusion prevention system report an incident.	Security	1, Low	3, High	Medium	The impact will vary based on the nature of the breach especially if taxpayer information, or accounts with administrative credentials are compromised.	RSI project team will support the Agency in their InfoSec response. The event response will depend on the nature of the incident. RSI will follow the Agency's InfoSec incident response procedures if they have been provided to the project team. If unauthorized access is performed by an RSI employee, covered employee will face disciplinary action, including termination of employment.	RSI will conform to Agency security standards in user ID and passwords. Passwords for users with access to taxpayer information or with administrative access will conform to passwords standards defined in IRS Pub 1075. • User accounts will be terminated when individuals leave the project. • User accounts will be inactivated after 90 days of inactivity. • Users will be granted access based on their role within the organization. Access is limited to users current role.	RSI Repository			

Status	Risk ID	Risk Title	Description	Risk Indicator / Symptom	Category	Probability	Impact	Exposure Level	Impact Description	Risk Response	Mitigation Action / Contingency Plan	Author	Date Reported	Owner	Due Date
Visual flag of task status	Unique identifier for tracking the risk	Short name for risk	Describe what might happen in the future and the possible impact on the project.	Describe what events or symptoms would indicate that the risk is about to occur or has already occurred.	Risk category / type.	1 - Low 2 - Medium 3 - High	1 - Low 2 - Medium 3 - High	Risk Priority from Probability and Impact	Describes specific impact risk could have on schedule, budget, scope, quality, etc.	Describe how the project will respond to the risk.	Describes what has been done and what will be done to respond to the risk.	Source of risk.	Date when risk was identified.	Team member responsible for risk.	Date when risk-issue or risk-resolution is due.
	58	Physical Security of the project	The project site must be secure from unauthorized entries. Information on the project team is confidential and proprietary to RSI, protected by statute (UNAX), as well as the physical security of employees.	Unauthorized individuals are able to access the project site. This includes Agency personnel and individuals from the public.	Security	1. Low	3. High	Medium	Loss of confidential information. Loss of proprietary or trade secrets. Loss of project assets. Injury or loss of life in the event of an armed individual entering the project site.	If person is unarmed, they will be asked to leave. Building security or 911 will be called, as needed. If an armed individual enters the project site, all personnel will immediately leave the building through emergency exits, then 911 will be contacted.	Access to project site is in a building with a security staff. All visitors must wear guest badges. All employees and contractors must wear badges at all times. Team will participate in a drill to leave using the emergency exits no less then annually. Firearms of any sort are not permitted on the project site except for law enforcement. The project space is in a secure area that requires key card with security access to open. Individuals do not gain access by entering the area. Each person must swipe their card at the badge reader. Unknown individuals and immediately reported to building security.	RSI Repository			
	59	Disaster Recovery / RSI Solution Center	The RSI Solution Center in California around Sacramento becomes unavailable because of a natural disaster or other event.	Natural disaster occurs in California around Sacramento. The Solution Center becomes unavailable.	Disaster	1. Low	2. Medium	Medium	Software upgrade would be delayed. Localizations being developed in the solution center would be delayed. Greatest risk is during the Configuration and Design phase of a project while the project team depends on a Solution Center hosted Sandbox environment.	Evaluate project exposure and the extent of the impact to the project. Develop and implement a recovery strategy to minimize the loss of the solution center.	All development work on localizations will be performed using project development server and project TFS accessed remotely by Solution Center resources. The source code and programs would not have to be onsite. Project team would have to reproduce a local Sandbox environment if needed.	RSI Repository			
	60	RSI goes out of business	RSI goes out of business and is not able to provide ongoing support or complete the project.	RSI declares bankruptcy. RSI notifies clients to terminate project for this cause if permitted under the contract.	Project Delivery	1. Low	3. High	Medium	The project is terminated.	None.	Where contractually required, the most recent version of the Revenue Premier source code is held in escrow.	RSI Repository			
	61	Loss of an Agency laptop	An Agency laptop assigned to the project team is lost or stolen.	Employee or vendor employee notifies agency that they have lost a laptop or it was stolen.	Security	1. Low	1. Low		Loss of an Agency asset. Individual may not be able to get another computer. An immediately resulting in a loss of productivity. Confidential or sensitive information on the laptop may be accessed.	Notify Agency of the lost asset. If the laptop was stolen, then provide the Agency with a Police report.	Limit the distribution of Agency laptops to only those individuals who need it to perform their job function. Require a police report if a laptop is stolen. Follow Agency information security standards regarding laptops. Laptops require password to access the OS. Laptop hard drives use hardware encryption. Agency may have to reformat the laptop or cause it to reformat the hard drive.	RSI Repository			
	62	Loss of access to Agency physical location	Agency provided project work site becomes unavailable because of a natural disaster, fire, water main break, or other reason.	Building closed to project team.	Disaster	1. Low	3. High	Medium	Project is delayed.	Project site will be unavailable for XX days. Execute business continuity plan agreed upon with the Agency.	For each project, work with Agency to develop a business continuity plan. Same threats and needs would be addressed by project contingency.	RSI Repository			
	63	Loss of key RSI team members	A key project team member becomes unavailable (e.g. wins the lottery).	Key team member leaves team.	Personnel / Staffing	2. Medium	2. Medium	Medium	Staffing change could impact schedule and project quality.	RSI team has skills to overlap where skills are needed. An existing team member can fill the role parttime until RSI is able to replace the resource.	Staffing approach defined in the Project Staffing Management Plan.	RSI Repository			
	64	New system does not meet Agency performance requirements.	Agency is not satisfied the new system meets the contractual performance requirements.	System performance is slow and does not meet the needs of the Agency.	Technology	1. Low	2. Medium	Medium	Agency may not accept the system. Project delay as performance concerns are resolved.	Perform a root cause analysis to determine why performance criteria are not met.	Project measures and software configuration are confirmed during project initiation. Performance testing is performed during Test phase. Stress testing is performed during Test phase.	RSI Repository			
	65	Agency personnel do not have the necessary technical skills to maintain the system.	Agency personnel did not develop the necessary permitted skill to maintain the system independent of daily RSI support.	Agency resources are unable to complete project related tasks in a timely manner and without defects.	Technology	1. Low	3. High	Medium	Agency is not able to maintain and operate the new system independently.	Agency to identify individuals with the needed basic technical skills, or send these employees to training to develop those skills.	Agency assigns technical resources to the project team from the beginning of the project. These individuals already have the technical skills needed to perform their job among the Agency staff. RSI project team provides classroom and on-the-job training to develop technical skills. RSI to provide Agency will reestablish it if IT staff assigned have the needed basic skillsets to fulfill their future role maintaining the new system.	RSI Repository			
	66	Project servers are not backed up on a regular basis.	Project servers support pre-production activities are not backed up on a regular schedule.	Scheduled backup fails consecutively for three days.	Technology	2. Medium	3. High		Project is exposed to losing work in the event of a hardware failure or disaster.	Project team will accept no more than 3 days loss of work. If automated backups fail then the Agency will perform manual backups of the pre-production and production servers.	Preproduction servers are backup daily. Weekly a full backup is performed. Contingency plan is to use SAN storage is backup media fails. If the Agency uses magnetic tapes, old tapes are replaced after 'x' months or 'x' uses). At least semiannually, the Agency will test the validity of backups by performing test restores using the backup tapes. If backup hardware fails then Agency will leverage the SAN to store backup files on site. The Agency will have offsite storage of backup tapes.	RSI Repository			
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CONSOLIDATED

WEEKLY PROJECT STATUS REPORT

Project Name:

Week Ending :

Executive Summary:

- aaa
- bbb
- ccc
- dddh
  - a
    - 1
  - b
  - c
    - 2

Weekly Progress (to show previous week's progress in comparison to project plan and schedule):

Activity	Scheduled Begin	Actual Begin	Schedule End	Actual End	Comments

Major Activities, Deliverables and Milestones (to show status of major milestones and project deliverables):

Task	Planned End Date	Actual / Target End Date	Status: Green, Yellow, Red
Release 1			

Planned Activities for Upcoming Week

Activity	Scheduled Begin	Actual Begin	Schedule End	Actual End	Comments

New Project Risks (identified in past week):

Risk Id	Risk Description	Level of Impact	Probability	Exposure Level	Impact Description	Mitigation/Planned Actions	Responsible	Date Reported	Trend
n/a									

New Project Issues (identified in past week

Issue Id	Title	Assigned To	Status	Severity	Category	Release	Due Date	Area Impacted
n/a								

CCR Summary (to provide summary statistics for change control request items):

CCR ID	CCR Status	Release	Est. Effort (Hrs)	Notes
n/a				

Updated Project Schedule: (to reflect actual work and progress since last status report):

APPENDIX C - TRAINING PLAN

The Training Plan outline has been provided to County (**See attachment Sample Training Plan**)

Rhode Island Department of Revenue
Division of Taxation
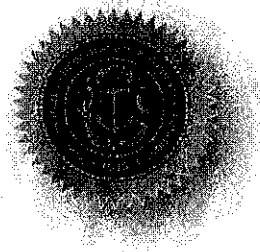
Integrated Tax Project
Training Plan

Prepared by:

Revenue Solutions, Inc.

RSI

Award Number: 3323013

Task Order Number: *Initial Contract*

FORWARD

I.   Record of Changes

Table 1. Change History

Change Number	Change Description	Date of Change	Date Inserted	Change Inserted By
0000	Initial Draft-Outline	09/30/2013		Jason Woodcock

Contents

Table of Contents

List of Figures and Tables

1. Introduction to This Document

1.1. Purpose

This document provides a description of user curriculum content for the Integrated Tax System training program. The training program is designed to train Agency trainers, project team members, and technologists, and includes training modules, knowledge transfer, and on-the-job training.

1.2. Scope

This document describes each module included in the Train-the-Trainer and Technologists training, as well as third-party training. RSI trainers will use the relevant modules to train Agency trainers, so they can perform their required tasks, which for some include mentoring users and training users. RSI technologists will also use the relevant modules to conduct the technologist training to prepare the Agency technologists for the required system operations. This classroom training accompanies on-the-job training provided by RSI technologists.

The Agency trainers attending training will have experience and skills in the legacy environment on the topic being presented, and the Agency IT staff will have the necessary prerequisite training.

1.3. Maintenance of This Document

This document will be edited as needed throughout the project in order to reflect items that may have changed over the course of the implementation. See Table 1: Change History for details on the changes that have occurred.

2. Train-the-Trainer

2.1. Agency Trainers

The Agency will select trainers based on their position in their team as a leader, a subject matter expert, and/or a mentor. These trainers will officially become the Integrated Tax System subject matter experts and mentors to their teams. These are people who have leadership skills and solid tax processing experience.

RSI trainers use the facilitator guide, accompanying PowerPoint slides and user workbooks for training the Agency trainers. Following training Agency trainers on the use the system, RSI trainers will support the Agency trainers as they develop their training delivery skills. After this training, the Agency trainers and RSI trainers will determine which modules Agency trainers will use to train their scheduled end-user groups, based on the end-users' needs.

Training of end-users will occur just prior to each release. During this time, RSI trainers will be available to support the Agency trainers as needed.

2.2. Training Materials

The materials used in Train-the-Trainer are the materials Agency trainers will use to train end-users. The training materials support on-site, comprehensive classroom training in the Train-the-Trainer program. The materials will be provided in electronic, editable, and printable format. The materials include the following:

Material	Purpose
Overview (PowerPoint Presentation)	Serves as an introduction to the course topic and statement of training objectives.
Facilitator Guide	A document created by RSI trainers that provides detailed instructions for the module being presented.
Computer Based Training (CBT)	CBT01 and CBT02 contain instructions for the following core system activities: • Log on the System • Search for and Entity • Search for an Account • Register Entity • Maintain Entity • Register Account • Maintain Account • File a Return • Reconcile and Release Deposits • Transfer Return • Transfer Payment • Adjust Return • Review Financials • Work Suspended Return • Work Pending Bills

Material	Purpose
	• Work Pending Overpayments. • Create a Case • Request and Search for Correspondence They also include how to use the context-specific help It is recommended that Agency users complete CBT01 and CBT02 prior to attending their first training session.
Contextual On-Line Help	Context-sensitive online help screens are linked within the screens of the Integrated Tax System. These screens provide instructions on how to perform each business transaction and process within the system.
Lab Workbook	Lab workbooks contain exercises related to the module being taught. They are provided to reinforce the materials being taught.

Figure 1: Training Materials

2.3. Training in the Integrated Tax System

Agency trainers will participate in formal training sessions that cover the system modules and are in the same format that the Agency trainers will later use to train end-users. The training sessions also help Agency trainers become comfortable using the system and to prepare them to teach the materials. During this time, Agency trainers will have the opportunity to present materials and receive immediate feedback from RSI trainers about their training delivery.

Following the formal Train-the-Trainer training, the Agency trainers, with the support of RSI trainers, will determine which parts of the modules are necessary to adequately train their end-users, because some end-users will not require training in all the skills included in each module.

3. User Training

3.1. End-User Training

End-user training will be conducted by Agency trainers. It will be staged throughout the life of the project, occurring by release for the scheduled project releases. Each module included in training will focus on the processes used by the Agency and how to perform the tasks contained in each of them efficiently.

During training, end-users are provided with an overview training presentation, demonstrations of software use, and practice labs where the end-users will perform software tasks in the classroom. It is recommended that the classrooms contain a minimum of two trainers at all times, who will visit each end-user being trained during lab exercises and assist as needed. If the end-user has difficulty, the Agency trainer can provide assistance in the training event or schedule additional follow-up training.

The modules listed below demonstrate the content provided for training.

3.1.1. RP01: Introduction to the Integrated Tax System

Training Item	Description
Objective	After completing this module, end-users will be able to log in the system and will gain an understanding of the navigational features in Integrated Tax System.
Content	• Overview of Integrated Tax System • Accessing Integrated Tax System • Navigating Integrated Tax System • Storing taxpayer information • Using context sensitive on-line help documents
Materials	• Guided Lab Workbook • Job Aids • Facilitator Guide
Length	Approximately 2 hrs.
Prerequisite Skills	• None Identified

Figure 2: RP01 – Introduction to the Integrated Tax System

3.1.2. RP02: Entity Identification

Training Item	Description
Objective	After completing this module, end-users will be able to understand the hierarchy of entities, accounts, and periods, and know where to find entity information, register entities and accounts, create associations, and establish relationships.
Content	- Description of entity model - Review of entity information captured - Register entities - Register accounts - Modifying an existing account - Establish relationship between tax entities - Add associations - Add attributes
Materials	- Guided Lab Workbook - Job Aids - Facilitator Guide
Length	Approximately 3 hrs
Prerequisite Skills	RP01

Figure 3: RP01 – Entity Identification

3.1.3. RP03: Channel Management

Training Item	Description
Objective	After completing this module, end-users will be able to balance and manage daily deposits, and correct batch errors in Integrated Tax System.
Content	- Look up deposits and batches - Change the settlement date of a batch and a deposit - Correct and balance a batch - Delete a batch - Delete a submission from a batch

Training Item	Description
	• Reconcile a deposit • Process split batches • Perform a coupon search • Create a payment coupon • Edit a payment coupon • Record a bad check • Record bank errors
Materials	• Guided Lab Workbook • Job Aids • Facilitator Guide
Length	Approximately 4 hrs.
Prerequisite Skills	• RP01 • RP02 • Knowledgeable in processing deposits, creating batches, batch corrections, and corrections.

Figure 4: RP03 – Channel Management

3.1.4. RP04: Returns and Payments

Training Item	Description
Objective	After completing this module, end-users will be able to perform manual tax processing tasks using Integrated Tax System.
Content	• Review system screens and menu items related to Returns and Payments. • Enter returns • Adjust returns • Create account periods • Process payments • Perform a coupon search • Create a payment coupon • Edit a payment coupon

Training Item	Description
	• Perform submission searches
	• Access suspense items
	• Correct suspended returns
	• Transfer transaction to the suspense queue
	• Add notes
Materials	• Guided Lab Workbook
	• Job Aids
	• Facilitator Guide
Length	Approximately 4 hrs.
Prerequisite Skills	• RP01
	• RP02
	• Knowledge and experience in tax processing, payment processing, and error correction

Figure 5: RP04 – Returns and Payments

3.1.5. RP05: Taxpayer Accounting

Training Item	Description
Objective	After completing this module, end-users will be able to manage a taxpayer account period.

Training Item	Description
Content	• Review Integrated Tax System screens and menu items related to Taxpayer Accounting Perform taxpayer accounting searches for financials, customer transactions, submissions, compliance check, and exceptions
	• Add an extension
	• Adjust the effective and postmark dates
	• Clear Exceptions
	• Transfer returns and payments to a different entity's account
	• Transfer payments to an external system
	• Execute an abatement or a settlement
	• Process a refund (Automatic Refunds, Manual Refunds)
	• Forecast Penalty & Interest
	• Maintain suppressions
	• Enter a manual liability
Materials	• Guided Lab Workbook
	• Job Aids
	• Facilitator Guide
Length	Approximately 8 hrs
Prerequisite Skills	• RP01
	• RP02
	• RP04

Figure 6: RP05 – Taxpayer Accounting

3.1.6.   RP09: Support Functions

Training Item	Description
Objective	After completing this module, end-users will be able to search, manage, and manipulate cases; and create and view outbound correspondence; in the Integrated Tax System.

Training Item	Description
Content	• Review Integrated Tax System screens and menu items related to Case Management • Review case summary page • Describe case type and case sub-type • Search for a case • Create a case • Transfer a case • Add notes for a case • Edit case details • Close a case • Work from My Inventory • Work from My Cases • Use work lists • Use case staging • Create and view outbound correspondence • Add periods to a case
Materials	• Guided Lab Workbook • Job Aids • Facilitator Guide
Length	Approximately 5 hrs
Prerequisite Skills	• RP01 • RP02 • RP04 • RP05 • Experience working refunds, delinquencies, error corrections, and audits

Figure 7: RP09 – Case Management

3.1.7. RP25: Supervisory Functions

Training Item	Description
Objective	After completing this course, end-users will be able to maintain worklists, assign roles, use bulk actions, and create reports.
Content	• Review system screens and menu items related to Supervisory Functions • Monitor case worklists • Assign worklists to users • Grant users access to necessary work areas based on users' roles • Use Bulk Actions • Create reports
Materials	• Guided Lab Workbook • Job Aids • Facilitator Guide
Length	Approximately 2 hrs
Prerequisite Skills	• RP01 • RP02 • RP04 • RP05

Figure 8: RP25 – Supervisory Functions

4. Technologists Training

4.1. Technologists Training

IT and Taxation will coordinate with the Training team to determine the technical needs of the Agency technologists and which developers and technical specialists will attend training events.

4.2. Technologists Training Curriculum

Technologists training includes classroom training for Integrated Tax System, hands-on training as part of the project development team, and third-party vendor training. These training types work hand-in-hand for a successful knowledge transfer. In addition to the courses listed below, technologists training participants will also receive hands-on training.

4.2.1. RP11: System Configuration

Training Item	Description
Objective	After completing this module, participants will be able to maintain the configuration of system-wide parameters and reference data. This establishes the code values on which the system will operate and be used by the user interface as well as the core product and business rules to make decisions accordingly.
Content	• Overview of the System Administrator tool • Create reference data • Update reference data • Inactivate reference data • Guided Lab
Materials	• Technical Administrator Guide • Guided Lab Workbook
Length	Approximately 4 hours
Prerequisite Skills	• Knowledgeable in the use of the reference data as it pertains to the items being configured.

Figure 9: RP11 – System Configuration

4.2.2. RP12: Forms Definition

Training Item	Description
Objective	After completing this module, participants will be able to maintain form definitions within the system. Establishing the form definition within the system includes the creation of the schema, the end-user layout of the form, and the creation of the form-specific validation rules.
Content	- Overview - Create XML schema - Add a schema to a custom tax form - Configure tax form sections and line items - Guided Lab
Materials	- Technical Administrator Guide - Guided Lab Workbook
Length	Approximately 5 hours
Prerequisite Skills	- XML Spy - RP11

Figure 10: RP12 – Forms Definition

4.2.3. RP13: Exceptions and Worklists

Training Item	Description
Objective	After completing this module, the participants will be able to configure exceptions and worklists within the system. These exceptions and corresponding worklists provide the means for users to correct items that are incorrect and need manual intervention.
Content	- Add a worklist and corresponding worklist views - Create an exception - Maintain worklists - Maintain exceptions - Guided Lab
Materials	Technical Administrator Guide

Training Item	Description
	• Guided Lab Workbook
Length	Approximately 4 hours
Prerequisite Skills	• RP11

Figure 11: RP13 – Exception and Worklist

4.2.4.   RP14: Case Workflow and Configuration

Training Item	Description
Objective	After completing this module, participants will be able to configure cases and workflows within the system. Case flows assist in the management of work across the system, and the agency. Case flows are not limited to collections or audit, but are also used to manage other exception scenarios through the system, including items such as return exceptions, bill item review, and refund item review.
Content	• Overview • Create case types and sub types • Add and maintain code processing attributes for case types • Create and maintain a case flow • Create and maintain case plan • Create and maintain case closure codes • Guided Lab
Materials	• Technical Administrator Guide • Guided Lab Workbook
Length	Approximately 5 hours
Prerequisite Skills	• RP11

Figure 12: RP14 – Workflow and Configuration

1

4.2.5. RP15: Correspondence Definition

Training Item	Description
Objective	After completing this course, participants will be able to create and maintain notices and outgoing correspondence within the application. This module complements the Pitney Bowes EngageOne training and provides the implementation skills necessary for creating notices with the system.
Content	- Overview - Create and import a correspondence template - Activate and modify a definition - Associate a definition to a template - Associate a definition to a security access profile - Create custom element procedures - Guided Lab
Materials	- Technical Administrator Guide - Guided Lab Workbook
Length	Approximately 8 hours
Prerequisite Skills	- EngageOne - Object oriented programming - RP11

Figure 13: RP15 – Correspondence Definition

4.2.6. RP16: Channels & Interfaces

Training Item	Description
Objective	After completing this course, participants will be able to create and maintain channels and interfaces. This module complements object oriented programming training and provides the implementation skills necessary for creating channels and interfaces within the system utilizing SSIS.
Content	- Overview - Create and modify an SSIS package for a channel - Create and modify an SSIS package for an interface

Training Item	Description
	• Guided Lab
Materials	• Technical Administrator Guide • Guided Lab Workbook
Length	Approximately 8 hours
Prerequisite Skills	• Object oriented programming • RP11

Figure 14: RP15 – Correspondence Definition

4.2.7. RP20: Offline Processes and Scheduling

Training Item	Description
Objective	After completing this course, participants will be able to analyze runs, cleanup data, prioritize jobs, and create and maintain offline processes and scheduling.
Content	• Overview • Analyze runs • Cleanup data • Prioritize jobs • Create and maintain offline processes with regards to scheduling • Guided Lab
Materials	• Technical Administrator Guide • Guided Lab Workbook
Length	Approximately 4 hours
Prerequisite Skills	• RP11

Figure 15: RP20 – Offling Processes and Scheduling

4.2.8. RP22: BRMS Configuration

Training Item	Description
Objective	After completing this course, participants will be able to create and maintain business rules. This course covers the skills necessary to update and maintain the rules within the system across functional areas.
Content	- Overview - Create and maintain business rules - Guided Lab
Materials	Guided Lab Workbook
Length	Approximately 24 hours
Prerequisite Skills	RP11

Figure 16: RP22 – BRMS Configuration

4.2.9. Fairfax Imaging

Taxation will receive vendor training directly from Fairfax Imaging for the licensed Quick Modules software that is part of the project. The training will be delivered to individuals based on their role and business need as appropriate. Quick Modules system training courses introduces Quick Modules and the related components to the key data entry managerial or supervisory staff. It will cover all aspects of monitoring the system using the Quick Modules. Quick Modules Administrator training is a condensed administrator course introducing Quick Modules and the related components to the system administrative staff. It will cover installation, configuration and monitoring.

The Division of Taxation will receive vendor training directly from Fairfax Imaging for the licensed Quick Modules software that is part of the project. The training will be delivered to individuals based on their role and business needs as appropriate. Quick Modules system training courses introduces Quick Modules and the related components to the key data entry managerial or supervisory staff. It will cover all aspects of monitoring the system using the Quick Modules. Quick Modules Administrator training is a condensed administrator course introducing Quick Modules and the related components to the system administrative staff. It will cover installation, configuration and monitoring.

For System Administrators, training on the following Fairfax Imaging Quick Modules products will occur:

- Quick Modules Workflow
- Quick Workflow
- Quick Enhance
- Quick Capture
- Quick DLN Burn (check endorsements)

1

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- Quick DBFill
- Quick Monitor
- Quick Check21 Admin Tool.
- Quick Check21 User Management Tool
- Quick Check21 File Generator
- Quick Check21 Communicator

A full training plan is provided by Fairfax imaging that encompasses the above.

4.3. Third-Party Training

RSI recommends the following third party training to augment the RSI-provided modules above.

4.3.1. SQL Server Reporting Services Training (SQL Server Version 2008)

The software course *Introduction to SQL Reporting Services* should be attended by technical users selected by the Agency. This course teaches attendees how to create, test, and distribute SQL Server Reporting Services reports. Following the course, technical users trained in SQL Reporting will participate in project tasks, as requested, to support report conversion from the legacy system into the new system.

4.3.2. EngageOne Designer (EngageOne Version 3.0)

Introduces attendees to the essential tools and techniques needed to create EngageOne templates. The course is geared towards those individuals who will use EngageOne Designer as the tool for creating EngageOne templates with interactive data capture.

4.3.3. EngageOne Administrator (EngageOne Version 3.0)

Provides EngageOne Administrators with the skills needed to create and manage a basic EngageOne environment. The course is geared towards technical users who will be using, setting up, and managing EngageOne Administrator as the tool for interactive document creation and management.

4.3.4. Introduction to C# 4.0 with Visual C# 2010

Teaches participants how to program in C# 4.0 using Visual C# 2010 and serves as in introduction to object oriented programming.

4.3.5. Mastering XML Spy (Version 2013)

XML Spy is an advanced XML editor for modeling, editing, transforming, and debugging XML-related technologies. This course teaches attendees basic XML skills, as well as how to make the most of XML Spy.

4.3.1. OpenText 1-0100 Course (Version 10.0.0)

OpenText is utilized as the content management store which interfaces with Fairfax Imaging modules and RPE. This course teaches users how to navigate within Content Server, search for documents and other work managed in Content Server, add new documents and other

Content Server items, apply custom categories (and attributes) to documents and edit these categories, revise documents and other information managed in Content Server, initiate document review workflows, process workflow and other tasks assigned to them.

5. Training Facility

5.1. Agency Provided Training Facility

The agency will provide the training facility used during the training events described in this document. The Training Facility will contain one trainer desk, one projector, and a projection screen.

6. Training Schedule

The following tables include the schedule for Release 1 Train-the-Trainer.

6.1. Train-the-Trainer Training Schedule Overview

The Agency will identify trainers for Train-the-Trainer training.

The training will begin April 21, 2014 and continue in two day sessions for four weeks.

6.1.1.   Week 1 of Train-the-Trainer, April 21-22

Day	Morning	Afternoon
Monday	RP01: Introduction to Integrated Tax System: learn to navigate the user screens	RP02: Entity ID structure and functions
Tuesday	RP03: Channel Management: Batches and Deposits	RP04: Returns and Payment Processing

Figure 17: Week 1 of Train-the-Trainer

6.1.2.   Week 2 of Train-the-Trainer, April 28-29

Day	Morning	Afternoon
Tuesday	RP05: Taxpayer Accounting	RP05: Taxpayer Accounting
Wednesday	RP09: Case Management	RP09: Case Management

Figure 18: Week 2 of Train-the-Trainer

6.1.3. Week 3 of Train-the-Trainer, May 5-6

Day	Morning	Afternoon
Monday	RP25: Supervisory Functions	Questions, Review, Open Lab
Tuesday	Guided/Open labs	Guided/Open labs

Figure 19: Week 3 of Train-the-Trainer

6.1.4. Week 4 of Train-the-Trainer, May 11-12

Day	Morning	Afternoon
Monday	Trainer presentation prep	Training presentation prep
Tuesday	Trainer presentations and feedback	Trainer presentations and feedback
Wednesday	Trainer presentations and feedback	Review and discussion

Figure 20: Week 4 of Train-the-Trainer

6.2. End User Training

6.2.1. End-User Training Schedule

The Agency Personnel Services Bureau will schedule the Agency end-users for training in the Integrated Tax System. User training will begin in May 2014, following the conclusion of the Train-the-Trainer sessions.

6.3. Technologists Training Schedule

The following table includes the schedule for Release 1 and post Release 1 technologists training.

Training	Dates for Delivery	Length
Introduction to SQL 2008 Reporting Services	Already occurred	N/A
Fairfax	April 2014	TBD

1

Training	Dates for Delivery	Length
Introduction to C# 4.0 with Visual C# 2010	Already occurred	N/A
EngageOne Designer	First Quarter 2014	4 Days
EngageOne Administrator	First Quarter 2014	3 Days
RP11: System Configuration	First Quarter 2014	1 Day
RP12: Forms Definition	First Quarter 2014	1 Day with additional on-the-job training and knowledge transfer
RP13: Worklist	First Quarter 2014	1 Day with additional on-the-job training and knowledge transfer
RP14: Case and Workflow Configuration	First Quarter 2014	1 Day with additional on-the-job training and knowledge transfer
RP15: Correspondence Definition	First Quarter 2014 (following EngageOne training)	1 Day with additional on-the-job training and knowledge transfer
RP20: Offline Processes and Scheduling	First Quarter 2014	1 Day with additional on-the-job training and knowledge transfer
RP22: Business Rules Engine	First Quarter 2014	4 Days

Figure 21: Technologists Training Schedule

7. Abbreviations and Acronyms

This section should always be included and describe any acronyms in the document so that the reader can understand the document.

BRE	Business Rules Engine
CBT	Computer Based Training
IT	Information Technology
SME	Subject Matter Expert
RSI	Revenue Solutions, Inc.

Appendix A

Changes for Releases 2 will be recorded in Appendix A.

Appendix B

Changes for Release 3 will be recorded in Appendix B.

2

APPENDIX D - SYSTEM REQUIREMENTS MATRIX

(See attached System Requirements Matrix)

COOK COUNTY GOVERNMENT
Office of the Chief Procurement Officer
Integrated Tax Processing System (ITPS)

Instructions

- Respondents are required to provide input under the vendor requirements self-rating section.
- Required, response of "Yes" indicates required functionality to met minimum DOR scope requirements.
- Met OTB or Configuration, response of "Yes" states that the proposed solution can meet the functionality specified under Column B, right out of the box or through system configuration (not requiring custom code or development).
- Met via 3rd Party/Custom Code, response of "Yes" states the proposed solution can not meet the functionality specified under Column B, through an existing 3rd party or will require custom code or development.
- Met via RSI

Production — RSI

No.	Requirements	DOR Priority	Required (Y)	Met OTB or Configuration	Met via 3rd Party/Custom Code Reserved	Vendor Comments	CCDOR Comments
1.001	Provides a robust case management tool for Registration, Collections, Audit, Appeals, and Investigation cases.	H	Y	Yes			
1.002	Provides users the ability to enter data from license and permit applications, returns, reports, schedules, and payments into the system through the use of a GUI.	H	Y			The Revenue Premier user interface is used to capture low volume data entry transactions such as license and permit applications, registrations, returns, schedules, and refund requests. If the volume exceeds a low number because e-filing is not mandated or is not adopted by enough taxpayers, RSI recommends a front end imaging/remittance solution by Fairfax Imaging.	
1.003	Provides a fully integrated system with consistent form, function and features across all modules, including a graphical user interface (GUI) that takes advantage of modern desktop technology to improve ease of use and interaction with the system.	H	Y	Yes			
1.004	The system will provide the capability to capture, display, edit, and delete the effective date and end (expiration) date of each business rule.	H	Y	Yes			
1.005	The system shall have the ability to capture and/or edit dates and period(s) based on business rules.	H	Y	Yes			
1.006	Provides the capability to generate assessments, refunds, overpayment notices, and correspondence etc. based on Department of Revenue business rules.	H	Y	Yes			
1.007	The system can track automatically generated correspondence based on business rules.	H	Y	Yes			
1.008	The system shall provide the ability to print multiple types of correspondence and related documents, for example, multiple page letters, bills, delinquency letters that include attachments to summarize the liability on the account and payment coupons with a scan line.	H	Y	Yes			
1.009	The system provides the ability to print all correspondence and related documents individually and also for several taxpayers on demand.	H	Y	Yes			
1.010	The system can print all correspondence(s) and related document(s) automatically based on business rules.	H	Y	Yes			
1.011	The system will have the ability to send (email) correspondence to multiple taxpayers for one or multiple exception items.	H	Y	Yes		Outbound correspondence can be issued electronically through the taxpayer's Portal account. An email is sent to the taxpayer alerting them that they have confidential mail on their portal.	
1.012	System shall be capable of tracking automatically generated correspondence based on business rules.	H	Y	Yes			
1.013	System can send (email) correspondence to multiple taxpayers for one or multiple exception items.	H	Y	Yes		Outbound correspondence can be issued electronically through the taxpayer's Portal account. An email is sent to the taxpayer alerting them that they have confidential mail on their portal.	We concur with your process of handling emails and can do without this requirement as initially documented in our Systems requirement matrix
1.014	System can track correspondence generated at the request of a system user (i.e. manually rather than by business rules stored in the ITPS).	H	Y	Yes			
1.015	Provides the capability to process those transactions on a real time basis.	H	Y	Yes			
1.016	Provides the capability for users to make and post online, real time adjustments in order to correct out-of-balance conditions.	H	Y	Yes			
1.017	Provides capability to enter data from applications, returns, reports, schedules, and payments, in a batch mode, using data the Department of Revenue receives from sources external to the system (e.g. front-end data entry programs, internet filing, electronic payments, etc.).	H	Y	Yes		Revenue Premier Channel Management accepts data via batch interfaces.	
1.018	Ability to perform cross reference checks with lists from other sources that have been automatically, or manually uploaded into the ITPS.	H	Y			The system provides this capability. RSI has defined the number of external data loads and cross reference checks (i.e. compliance programs) that are included in RSI Response Section 3.2 Tax Discovery	
1.019	Provides the capability to receive and upload information from taxpayers in XML, CSV and TXT format	H	Y			RSI assumes that nothing exists currently and a new front end bulk file system would be required. Based on conversations with the DOR, only 3 tax types (3 forms) would have sufficient volume of records to warrant the file upload capability.	
1.020	Provides the capability to readily change and consistently use Department of Revenue terminology on screens, reports, correspondence, field labels, etc., without the terminology changes compromising vendor support.	H	O	Yes		This is a capability of Revenue Premier but RSI has included minimal services in our bid to enable this functionality and should be reserved for any items clearly confusing to the DOR that cannot be resolved with training.	if yes ...kindly state expenditure cost to have this Capability
1.021	Provides screens that are easy to navigate through, including the ability to go to any desired screen quickly and in a logical manner.	H	Y	Yes			
1.022	Allow users access to all functions using a mouse.	H	Y	Yes			
1.023	Allow users access to all functions using the keyboard (mouse not required).	H	Y	Yes			
1.024	Allows users some ability to customize work space such as screen resolution, font size, color scheme, arrangement of home page, etc.	H	Y	Yes			
1.025	Provides navigation aids such as drop down lists, tables of valid options, etc.	H	Y	Yes			
1.026	Provides context sensitive help throughout the system, including appropriate error messages when applicable.	M	Y	Yes			
1.027	Provides the capability to customize system help screens and/or error messages to include Department of Revenue specific instructions.	M	Y	Yes			
1.028	Provides the capability to search the Help function using keywords.	M	Y	Yes			
1.029	Provides consistent profile information on each screen including the taxpayer's ID number and name.	H	Y	Yes			
1.030	For screens dealing with a specific tax type for a taxpayer, provides the capability to show tax type name on the screen.	H	Y	Yes			
1.031	For screens dealing with tax types that require licenses or permits, provides the capability to show license or permit number on the screen.	H	O	Yes			
1.032	For screens dealing with tax types that require licenses or permits, provides the capability to show status of account (active/inactive/blocked/suspended).	H	Y	Yes			

No.	Requirements	DOR Priority	Required (Y)	Met OTS or Configuration	Met via 3rd Party/Custom Code Required	Vendor Comments	CCDOR Comments
1.033	Provides the capability to simultaneously view multiple versions of returns for a single taxpayer in the same tax period without or by opening another instance of the application.	H	Y	Yes			
1.034	Provides the capability to allow multiple screens for the same taxpayer and tax type to remain open at the same time without or by opening another instance of the application.	H	Y	Yes			
1.035	Provides the capability to allow multiple screens for the same taxpayer and different tax types to remain open at the same time without or by opening another instance of the application.	H	Y	Yes			
1.036	Provides the capability to allow multiple screens for different taxpayers to remain open at the same time without or by opening another instance of the application.	H	Y	Yes			
1.037	Provides the capability to allow the user's monitor to be "partitioned" to enable the simultaneous viewing of multiple screens.	H	O	Yes			
1.038	Supports the use of multiple monitors without opening another instance of the application.	H	Y	Yes			
1.039	Supports the use of multiple monitors by opening another instance of the application.	H	O	Yes			
1.040	Provide a easily configurable rules engine requiring minumum technical aptitude.	H	Y	Yes			
1.041	Maintains all versions of Department of Revenue business rules by always adding new rules, never updating existing rules.	H	Y	Yes			
1.042	Provides the capability to track the history of changes to individual business rules.	H	Y	Yes			
1.043	Provides the capability to retain business rules for multiple filing periods and continue to apply rules for past periods.	H	Y	Yes			
1.044	Provides an audit trail for every user transaction entered that includes the transaction and the date and time the transaction was performed.	H	Y	Yes			
1.045	The system should display the audit trail, based on business rules.	M	Y	Yes			
1.046	Provides the capability to allow users to have multiple security profiles (perform different roles at different times).	H	O	Yes			
1.047	Provides the capability to allow users to be logged into the system from multiple desktops at the same time with the same profile.	H	O	Yes			
1.048	Provides the capability to assign temporary log-in profiles with a begin date and expiration date.	M	Y	Yes		RSI would create a normal user and end date the account on the expiration date.	
1.049	Provides the capability by tax type to round numbers when necessary based upon business rules.	H	Y	Yes			
1.050	Provides the capability to define and maintain form validation rules in a real-time manner.	H	Y	Yes		This would require the business rules be recompiled during a planned system maintenance window.	
1.051	Provides the capability to define and maintain form data element tolerance levels in a real-time manner.	H	Y	Yes		This would require the business rules be recompiled during a planned system maintenance window.	
1.052	Provides the capability to set different data archival and purging rules based on tax type.	H	Y	Yes			
1.053	Provides for "automated certified mail". The process involves the USPS providing CCDOR with a block of certified mail numbers. CCDOR increments the number for each notice printing the certified number and it's representation in a bar code. CCDOR should provide a list for each mailing listing the name, address, and certified mail number for each. (This process is used for the State Offset noticing and saves the department a great deal of money. It is, in effect, the "Green" return receipt card process without a "Green" return receipt card.)	H	Y		Yes	Site Specific Interface that will need to be developed.	
1.054	The system shall provide the ability to email multiple types of correspondence and related documents, for example, multiple page letters, bills, delinquency letters that include attachments to summarize the liability on the account and payment coupons with a scan line.	H	Y	Yes			
1.055	The system can email all correspondence(s) and related document(s) automatically based on business rules.	H	Y	Yes			
1.056	The system provides the ability to email all correspondence and related documents for several taxpayers or individually on demand.	H	Y	Yes			

COOK COUNTY GOVERNMENT
Office of the Chief Procurement Officer
Integrated Tax Processing System (ITPS)

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- <u>Met OTB or Configuration</u>, response of "Yes" states that the proposed solution can meet the functionality specified under Column B, right out of the box or through system configuration (not requiring custom code or development).
- <u>Met via 3rd Party/Custom Code</u>, response of "Yes" states the proposed solution can not meet the functionality specified under Column B, through an existing 3rd party or will require custom code or development.
RSI

No.	Requirements	DOR Priority	Required (Y)	Met OTB or Configuration	Met via 3rd Party/Custom Code Required	Vendor Comments	CDOR Comments
2.001	Provides users the capability to directly enter new profile information about taxpayers into the system.	H	Y	Yes			
2.002	Provides the capability to enter new profile information about taxpayers obtained when processing tax return or payment information, through the use of a callable programmed interface.	H	Y	Yes			
2.003	Provides the capability to enter new profile information about taxpayers, in a batch mode, using data the Department of Revenue receives from external sources, including internet-based registration, based on users level of access granted.	H	Y	Yes			
2.004	Provides the capability for viewing taxpayer profile information.	H	Y	Yes			
2.005	Provides the capability for the system to automatically assign a unique Department of Revenue identification number to the taxpayer, the structure of which can be defined by DOR.	H	Y	Yes			
2.006	Provides the capability to manually assign a unique Department of Revenue identification number to the taxpayer assuming that the system does not have any ability for automatic assignment.	H	O	Yes			
2.007	Provides the capability to assign a temporary identification number to the taxpayer while waiting to receive actual identification/license numbers (i.e., FEIN or IBT), and then transfer to the correct identification number when obtained.	H	Y	Yes			
2.008	Provides the capability for the system to automatically assign a unique license number when processing license applications, the structure of which can to be defined by DOR.	H	Y	Yes			
2.009	Provides the capability to manually assign a license number assuming that the system does not have any ability for automatic assignment.	H	O	Yes	This is a capability of Revenue Premier, but RSI has not included services in our bid to enable this functionality.		
2.010	Provides a listing of potential duplicate taxpayer accounts before creating new taxpayer profiles.	H	Y	Yes			
2.011	Provides the capability to search for existing taxpayers by displaying all taxpayers in the database whose name begins with the same letter or letters (not case sensitive) supplied by user input.	H	Y	Yes			
2.012	Provides the capability to search on any name, address, phone number, and other unique identifier to facilitate research, including the use of partial names/data and wild cards.	H	Y	Yes	Revenue Premier has extensive search capabilities/screens including a "contains" which is our version of wildcard. Phonetic search also exists.		
2.013	Provides the capability to search using a 'wildcard' function.	H	Y	Yes	Revenue Premier has extensive search capabilities/screens including a "contains" which is our version of wildcard. Phonetic search also exists.		
2.014	Supports name searches that are not case sensitive, and can include numbers and special characters in the name.	H	Y	Yes			
2.015	Provides the capability to search for existing taxpayers by performing a phonetic name match.	H	O	Yes	Revenue Premier embeds a third party product, Informatica Identity Resolution Software, for phonetic searching included in our pricing.		
2.016	Provides the capability to search for existing taxpayers by input of an address and displaying all taxpayers in the database having that same address.	H	Y	Yes			
2.017	Provides the capability to search for existing taxpayers by input of an FEIN or IBT, and displaying all taxpayers in the database having that same FEIN or IBT.	H	Y	Yes			
2.018	Provides the capability to search for existing taxpayers by input of a Department of Revenue assigned identification number and displaying all taxpayers in the database having that same assigned account number.	H	Y	Yes			
2.019	Provides the capability to search for existing taxpayers by input of a tax type specific license or permit number and displaying all taxpayers in the database having that same license or permit number.	H	Y	Yes			
2.020	Provides the capability to register a taxpayer for multiple tax types.	H	Y	Yes			
2.021	Provides the capability to register a taxpayer conducting business from multiple locations.	H	Y	Yes			
2.022	For taxpayers with multiple locations, provides the capability to register each location for one or more tax types.	H	Y	Yes			
2.023	For taxpayers with multiple locations, provides the capability to register each location for one or more activities per tax type.	H	Y	Yes			
2.024	Provides the capability to maintain different names for the same FEIN or IBT, including effective start and end dates for each name.	H	Y	Yes			
2.025	Provides the capability to enter information for multiple contacts at the taxpayer, tax type, location, and/or license/permit levels, and maintain the effective start and end dates for each contact.	H	Y	Yes			

#	Requirement				Comments
2.026	Provides the capability to establish and maintain relationships between taxpayers and view those relationships that may exist with individual taxpayers, e.g., a tax preparer and multiple tax payers	H	Y	Yes	
2.027	Provides the capability to define the type of relationship and how it may affect document/transaction processing.	H	Y	Yes	Revenue Premier allows users to establish relationships between taxpayers that may be date effected. Business rules can be written to effect processing to meet this requirement. If our interpretation is incorrect, then RSI requires further clarification of this requirement prior to indicating a self-rating or committing to provide the required functionality.
2.028	Provides the capability to link taxpayers related in a parent and subsidiary relationship.	H	Y	Yes	
2.029	Provides the capability to link taxpayers with their related entities, i.e., in cases of common ownership or officers.	H	Y	Yes	
2.030	Provides the capability to link partnerships with individuals, corporations or other partnerships who are participants in the partnership.	H	Y	Yes	
2.031	Provides the capability to link limited liability companies (LLC) with individuals, corporations or partnerships who are members of the LLC.	H	Y	Yes	
2.032	Provides the capability to link S corporations with shareholders.	H	Y	Yes	
2.033	Provides the capability to link trusts with the designated beneficiaries and trustees.	H	Y	Yes	
2.034	Provides the capability to link businesses that have merged to form a new entity.	H	Y	Yes	
2.035	Provides a means to denote on the taxpayer's profile the taxpayer's current status. For example, if an account is blocked, suspended, out of business, etc.	H	Y	Yes	
2.036	Provides a means to denote on the taxpayer's profile that the taxpayer is deceased.	H	Y	Yes	
2.037	Provides a means to denote on the taxpayer's profile that the taxpayer is potentially dangerous or a threat to the agency or agency personnel.	H	Y	Yes	
2.038	Provides a means to denote on the taxpayer's profile that the taxpayer does not have nexus for a given period.	H	Y	Yes	Revenue Premier would treat this as a period level attribute.
2.039	Provides the capability to record and track powers of attorney.	H	Y	Yes	
2.040	Provides the capability to record and track responsible officers including their effective dates.	H	Y	Yes	
2.041	Provides the capability to link taxpayers with their contacts and those individuals that hold a power of attorney on behalf of the taxpayer.	H	Y	Yes	
2.042	Provides the capability to record and track bonds and other forms of security based on DOR business rules.	H	Y	Yes	Revenue Premier tracks bonds. What other forms of security are required to be tracked?
2.043	The system shall provide for the entry of multiple addresses for a single taxpayer and the ability to designate what purpose each is used for as well as the timeframe for which the address is valid. Example: A single address is maintained for multiple purposes for the taxpayer; provide the ability to change it and associate it to a specific purpose. No character limitations unless imposed by administrators.	H	Y	Yes	The character limitation is imposed by the database field size.
2.044	Provides for the entry of multiple addresses for each tax type for which a taxpayer is responsible.	H	Y	Yes	
2.045	Provides for the entry of multiple addresses/locations to register each location for one or more tax types. Example: A business may have multiple reporting locations.	H	Y	Yes	
2.046	Provides the capability to automatically identify and assign the correct zip code based on entry of a street or P.O. box, city, and state address.	H	Y	Yes	Revenue Premier embeds a third party product, UAM by Pitney Bowes, for address standardization included in our pricing.
2.047	Provides the capability to automatically identify and assign the correct city and state based on entry of a zip code.	H	Y	Yes	Revenue Premier embeds a third party product, UAM by Pitney Bowes, for address standardization included in our pricing.
2.048	Provides the capability to support foreign addresses including country codes, postal codes and telephone numbers.	H	Y	Yes	
2.049	Provides for the entry of multiple e-mail addresses for each tax type for which a taxpayer is responsible.	H	Y	Yes	
2.050	Provides the capability to send an e-mail from within the system, preferably by "one-clicking" on an e-mail address.	H	Y	Yes	
2.051	Provides the capability to send group emails from within the system, preferably by selecting multiple users and/or taxpayers.	H	Y		In a planned release of the Revenue Premier Taxpayer Portal, taxpayers will be able to sign up for a subscription or notification (so self assign themselves to a group) which will enable group mailings. Since this feature will not be ready by project start, nor is it clear if this planned functionality will meet the requirement, RSI is not, at this time, committing to meeting this requirment.
2.052	Provides the capability to support seasonal addresses, including manual entry of start and end dates.	H	Y	Yes	Revenue Premier has the concept of a seasonal tax account, but not seasonal addresses. Addresses used for outbound correspondence have start and end date that would be used.
2.053	Provides the capability to manually mark a specific address as undeliverable or invalid.	H	Y	Yes	

#	Requirement	Priority				Notes
2.054	Provides an audit trail of all activity related to taxpayer profiles by keeping track of who created or modified the profile and when the creation or modification took place.	H	Y	Yes		
2.055	When displaying a transaction screen, provides the capability to display the user and date of the latest update to that transaction, along with any related comments.	H	Y	Yes		
2.056	Maintains all versions of taxpayer profile information by always adding new information, never updating existing information, including start and end dates which are set automatically by the system.	H	Y	Yes		
2.057	Provides a facility for accepting data from the Illinois Secretary of State regarding registrations of new entities, including corporations, limited partnerships, limited liability companies and limited liability partnerships.	H	Y			Per the DOR automatic registration of business taxpayers would not occur from this data source. Therefore RSI is not proposing to configure business auto-registration functionality.
2.058	Provides the capability to directly interface with external databases (e.g. Secretary of State) to perform real time validations of new registrations and license applications.	H	Y			No — Per the DOR automatic registration of business taxpayers would not occur from this data source. Therefore, RSI is not proposing to configure business auto-registration functionality. (Currently initial registration is done on the E-1 system and takes approx. 2hrs to update that information on JD Edwards. The expectation is that the New Tax System would streamline this process, and handle Registration as well as Validation as a whole)
2.059	Provides a facility for accepting data from the Illinois Secretary of State regarding entity withdrawals and dissolutions.	H	Y		Yes	Site-specific interface.
2.060	Provides the capability to request the Illinois Secretary of State to suspend a taxpayer's business licenses and denote in the taxpayer's profile that a suspension has been requested.	H	Y		Yes	Site-specific interface. Bi-directional.
2.061	Provides the capability to designate that an entity registration has been reinstated.	H	Y	Yes		
2.062	Provides the capability to issue correspondence to the taxpayer involved in an entity withdrawal or dissolution.	H	Y	Yes		
2.063	Provides the capability to specify an SIC code and/or an NAICS code in the taxpayer profile.	H	Y	Yes		
2.064	Provides the ability to record one primary NAICS or SIC code and as many secondary NAICS or SIC codes as submitted by business taxpayers.	H	Y	Yes		Secondary NAICS codes would be treated as attributes of the taxpayer.
2.065	Provides the capability to capture a number of external identification numbers such as, driver license, vehicle registration, and various business/professional license numbers, etc. in the taxpayer profile.	H	Y	Yes		
2.066	Provides the capability to maintain a number of taxpayer codes, such as, business class codes, etc. This refers to any codes as part of the management of all tax types.	H	Y	Yes		
2.067	Provides the capability to maintain a number of flags and codes of various lengths across various tax types in the taxpayer profile.	H	Y	Yes		
2.068	Provides the capability to maintain a number of dates for various reasons in the taxpayer profile.	H	Y	Yes		
2.069	Provides the capability to link taxpayers and their website.	H	Y	Yes		
2.070	Provides for registration types that require preregistration based on DOR business rules.	H	Y	Yes		
2.071	Provides for registration types that do not require preregistration based on DOR business rules.	H	Y			No need — Per the DOR, requirement not needed.
2.072	Provide for registration types that are automatically renewed (Refer to tax matrix document for DOR tax ordinance and rules).	H	Y	Yes		
2.073	Provides for registration types that require periodic renewal. (Refer to tax matrix document for DOR tax ordinance and rules).	H	Y	Yes		
2.074	Allow for entry and tracking of license fees for new and renewal registrations.	H	Y	Yes		
2.075	Provides the ability to record tax type specific information including but not limited to specifics such as filing cycle, jurisdictional info, sales tax certificates, filing requirements, etc.	H	Y	Yes		
2.076	Provides the capability to perform a compliance check at the time of registration, reinstatement or addition of another tax to perform this check periodically and to perform this check on a demand basis and store the results of the check so they can be displayed to users as needed.	H	Y		Yes	New Offline process is required to do the periodic compliance check.
2.077	Accommodates seasonal/periodic and uncommon filers (i.e., Gun Shows).	H	Y	Yes		
2.078	Provides the ability to record and display various characteristics, statuses, and indicators regarding a registration, by tax. For example: Active/Inactive status, suspended/reactivated status, whether verification of a given data element has occurred and if so the source, reason (if applicable), effective and recorded dates, revoked or cancelled, audit, collections, high dollar, hearings and appeals, legal.	H	Y	Yes		
2.079	Provides a means to record and display that a taxpayer has a history of filing fraudulent returns. Flag by tax and display flag everywhere (across all taxes).	H	Y	Yes		
2.080	Provides the ability to display, when a taxpayer has an open case, or open case, of any type, the case type, year, specific tax, and the name and phone number of the CCDOR representative that the taxpayer is to be directed for further information.	H	Y	Yes		
2.081	Provides the functionality to add, change, and mark inactive registrations and taxpayer demographic information, along with source of information, reason, effective and recorded dates.	H	Y	Yes		
2.082	Provides the ability to perform compliance checks for variable renewal periods, depending on tax.	H	Y	Yes		
2.083	System allows for the recording, editing of event dates, and the imposition of fees as applicable based on business rules.	H	Y	Yes		This will be met by requirement 2.076 or through the visual inspection of a taxpayer's account details.
2.084	Provide the ability to generate correspondence to notify registrants of changes in registration status and to provide necessary transmission information.	H	Y	Yes		

ID	Description				Comments
2.085	Provides the ability to capture and indicate requests by the taxpayer to temporarily redirect mail to an alternate address subject to business rules and tax types.	H	Y	Yes	Temporary addresses would be created and effective dated. At the end of the period, the DOR would have to reactivate the original address.
2.086	Provides the ability to capture and indicate "do not mail" orders. This refers to any notices, correspondences, etc., providing DOR the capability to flag/indicate what should not be mailed.	H	Y	Yes	
2.087	Provide the ability to control different mailing criteria such as "1st notice send to taxpayer and 2nd notice send to preparer" (or both to both) and "which taxpayer's get postcards and which get other documents, etc."	H	Y	Yes	
2.088	Provides the ability for non-financial fields to be different for each debtor associated with a tax liability, e.g. statute of limitations, relationship, or other attributes related to the relationship.	H	Y	Yes	Each debtor will have their own taxpayer record in Revenue Premier.
2.089	Provides the ability, when a given identifier is entered, to display all of the entities associated with that identifier and allow the user to select the one they want to view.	H	Y	Yes	
2.090	Provides the ability to add or delete maintenance records received from electronic files, e.g. IDES, IRS, EFT or third-party vendor.	H	Y	Yes	
2.091	Captures, stores and displays information regarding mandated electronic filers vs. voluntary electronic filers.	H	Y	Yes	This information will be stored as an attribute on the taxpayer or tax account.
2.092	Provides the ability to link account numbers of buyers and sellers in bulk sales transactions.	H	Y	Yes	
2.093	For bulk sales, the ITPS should provide the ability to capture and display buyer's name, address, account number, telephone number, seller's name, address, sale date, stop order number, effective date, release date and reason for release.	H	Y		RSI requires clarification on this requirement prior to indicating a self-rating or committing to provide the required functionality.
2.094	If the taxpayer is involved in a bulk sale are not registered, the ITPS should automatically create a registration based on DOR business rules.	H	Y	Yes	
2.095	Provides the ability to accept batch loads for bulk registration.	H	Y	Yes	
2.096	Provides a real-time registration progress dashboard.	H	Y	Yes	Through a custom report, counts of registration added, changed, tax types, etc. can be tracked. If our interpretation is incorrect, then RSI requires further clarification of this requirement prior to indicating a self-rating or committing to provide the required functionality.
2.097	Provides the capability to capture tobacco product manufacturer's and township contact information.	H	Y	Yes	
2.098	Provides the capability to directly interface with external systems (e.g. ILDOR 508 Letter incorporation verification) via web services.	M	Y	Yes	All "capability" requirements need to be confirmed.

COOK COUNTY GOVERNMENT
Office of the Chief Procurement Officer
Integrated Tax Processing System (ITPS)

Instructions
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- **Met OTB or Configuration**, response of "Yes" states that the proposed solution can meet the functionality specified under Column B, right out of the box or through system configuration (not requiring custom code or development).
- **Met via 3rd Party/Custom Code**, response of "Yes" states the proposed solution can not meet the functionality specified under Column B, through an existing 3rd party or will require custom code or development.
RSI

No.	Requirements	DOR Priority	Required (Y)	Met OTB or Configuration	Met via 3rd Party/Custom Code Required	Vendor Comments	CCDOR Comments
3.001	Provides the capability to maintain different tax forms for different years, and allow for changes during a given tax period.	H	Y	Yes		Revenue Premier allows forms to have a type/id , a version number and be dated effective enabling different forms by different years and changes within a year (but not two forms of the same type effective at once unless form type is changed.)	
3.002	Provides the capability to make retroactive changes to previous years' forms and rules, and generate a list of taxpayers who may need to file an amended return based on the retroactive changes.	H	Y	Yes		Per DOR this does not happen, and therefore the services to configure this functionality are not included.	No
3.003	Provides the capability to generate hard copies of tax forms on request, either blank or pre-populated with taxpayer demographic information, based on user permissions/access level	H	Y	Yes			
3.004	Provides the capability to generate electronic versions (Excel and PDF) of all forms and schedules, either blank or pre-populated with taxpayer demographic information.	H	Y	Yes		Outbound correspondence, including pre-printed forms, are generated using EngageOne. RSI will take DOR provided forms and make them available through the outbound correspondence capabilities of Revenue Premier. RSI has assumed that these are manually selected and generated from Revenue Premier, as opposed to generated in bulk using an offline process.	
3.005	Provides the capability to determine, through the use of Department of Revenue business rules, the proper reporting frequency for each tax type for which the taxpayer is responsible.	H	Y	Yes			
3.006	Supports the following reporting periods: Monthly, Quarterly, Annual, Accelerated, Four-week, daily and fiscal year filers.	H	Y			Per DOR this does not happen, and therefore the services to configure this functionality are not included.	No : can do without this requirement as initially documented in our Systems requirement matrix
3.007	For taxpayers reporting on four-week periods, maintains a taxpayer supplied schedule of the beginning and ending dates for each four-week period.	H	Y			RSI requires clarification on this requirement prior to indicating a self-rating or committing to provide the required functionality.	
3.008	Supports taxpayers with irregular reporting requirements (e.g. seasonal businesses), including recording the date range for which they are required to report.	H	Y	Yes			
3.009	For taxpayers reporting irregularly, provides the capability to maintain a schedule of when the taxpayer will be conducting business.	H	Y	Yes			
3.010	Allows for changes to taxpayer reporting from one frequency to another.	H	Y	Yes			
3.011	Provides the capability to denote exemption periods on a taxpayer's account.	H	Y	Yes		This can be accomplished via attributes that are effective dated, and business rules.	
3.012	Provides the capability to denote nexus periods on a taxpayer's account.	H	Y	Yes		This can be accomplished via attributes that are effective dated, and business rules.	
3.013	Maintains a history of the reporting frequencies, by tax, for each taxpayer. This history is to include the applicable dates for which the reporting frequency was in effect, and any related comments.	H	Y	Yes			
3.014	Provides the capability to record the date of receipt (hard copy or electronic) and/or postmark date of returns and reports in order to determine delinquency.	H	Y	Yes			
3.015	Provides the capability to record the posting date.	H	Y	Yes			
3.016	Provides the capability to process multiple original returns per reporting period from the same taxpayer for the same tax type.	H	Y	Yes		If multiple returns are filed for the same period, the subsequent returns are suspended as a work item. A user then must resolve if the original should be cancelled or the subsequent should be changed to an amended return.	
3.017	Provides the capability to limit the filing of only one (1) original return for a reporting period for some tax types. Receipt of a second original return will cause a work item to be generated for resolution.	M	Y	Yes			
3.018	Provides the capability for the Department of Revenue to create an original return on behalf of the taxpayer for a period, but then replace it with an original filed later by the taxpayer for that period.	H	Y	Yes			
3.019	In cases where an original return created by the Department of Revenue is replaced by a taxpayer original, provides the capability for the history of the changes to be maintained, and for the taxpayer accounting and revenue accounting transactions to be incremental.	H	Y	Yes		However, tax accounting is not incremental. We reverse the estimated return and the original return becomes the new liability.	

#	Requirement	Priority	Y/O	Resp.	Resp.2	Comments
3.020	Provides the capability to compare different versions of a return on a side-by-side basis, including original, corrected, and amended versions.	H	Y	Yes		Due to space limitations on the GUI, Revenue Premier allows a user to click through versions of the return line items using "Next" and "Previous" buttons to see the history of line item changes.
3.021	Provides the capability to show the status of a return (e.g. review, audit, collections, appeals, etc.).	H	Y	Yes		
3.022	Provides the capability for users to denote on a taxpayer's account that a one-time request for extension for filing a return for a specific tax type and tax period has been received and granted by the Department of Revenue. The date to which the extension has been granted will also be captured.	H	Y	Yes		
3.023	Provides the capability for taxpayers to request multiple extensions for the same filing period.	H	Y	Yes		The due date of a return can be changed multiple times.
3.024	Provides the capability for users to denote on a taxpayer's account that a request for a temporary extension for filing returns for multiple tax periods has been received and granted by the Department of Revenue. The dates to which the extension has been granted and the periods covered by the extension will also be captured.	H	Y	Yes		
3.025	Provides the capability for users to denote on a taxpayer's account that a request for a permanent extension for filing returns for a particular tax type has been received and granted by the Department of Revenue. The effective date for which the extension has been granted and the tax covered by the extension will also be captured.	H	Y	Yes		This can be accomplished via attributes that are effective dated, and business rules.
3.026	Provides the capability to record that an extension (temporary or permanent) has been granted for a specific location within the taxpayer's account.	H	Y	Yes		
3.027	Provides the capability for the system to automatically grant a temporary extension to taxpayers within certain geographic regions because of an Act of God, including taxpayers with a physical location in the affected area, but a mailing address outside.	H	Y		Yes	Custom development of a script to update affected taxpayer's periods.
3.028	Provides the capability to automatically generate correspondence to the taxpayer when the Department of Revenue has changed a taxpayer's filing frequency or granted a filing extension.	M	Y	Yes		This is a capability of Revenue Premier, but RSI has not included services in our bid to enable this functionality.
3.029	Provides the capability for processing tax returns for reporting periods not maintained on the system.	M	O	Yes		
3.030	Provides the capability for recording that a law change that requires the filing of an amended return, automatically generating a notice to affected taxpayers that an amended return is required, and generating a reminder to designated users if the amended return is not filed on schedule.	H	Y		Yes	Using Audit Selection, taxpayers impacted could be selected, a case created and notice mailed. Case could be closed. RSI will provide training on the process but until needed, no services have been included to provide (alternatively, one of the compliance programs could be used).
3.031	Provides the capability to perform data validation, using Department of Revenue business rules against data captured from returns. Work items will be created for returns that fail validation or exceed tolerance levels set for certain data elements. Returns that fail validation will not post to the taxpayer's account until a resolution is reached. Returns that pass validation but fail tolerance level checks can be posted to the taxpayer's account.	H	Y	Yes		
3.032	Provides the capability for the system to automatically cross check multiple schedules within a return to ensure that data elements are consistent (e.g. gross income on one schedule is the same as gross income on another schedule).	H	O	Yes		
3.033	Provides the capability for the system to automatically calculate or recalculate taxpayer returns based on tax type required fields.	H	Y	Yes		
3.034	Provides the capability for users to resolve return validation errors, through the use of a GUI, by correcting data elements captured incorrectly.	H	Y	Yes		
3.035	Provides the capability for users to review returns containing certain data elements that exceed tolerance levels, through the use of a GUI.	H	Y	Yes		
3.036	Provides the capability to notify the appropriate user that a taxpayer has been consistently filing late returns or making return errors.	H	Y	Yes		Return errors worklist. Late filed returns do not worklist unless they create a balance and enter the collections process.
3.037	Provides a means to denote on the taxpayer's profile that the taxpayer has a history of filing delinquent, fraudulent, incomplete or erroneous returns.	H	Y	Yes		
3.038	Provides the capability to generate a work item if a return is received from an out-of-business or unlicensed taxpayer.	H	Y	Yes		
3.039	Provides the capability for the system to automatically check filing amounts from previous tax periods and alert the user so that they can determine if adjustments are necessary or the taxpayer needs to provide justification for a significantly different amount.	H	Y	Yes		This would be a back end compliance program rather than a real-time return evaluation.
3.040	Provides the capability to validate potential refunds using external data sources.	H	Y		Yes	Revenue Premier has the capability to handle a refund fraud program via internal business rules; however, no services to load undefined external data sources or a specific refund fraud program are being proposed by RSI at this time.
3.041	Provides the capability to balance tax return data brought forward from supporting attachments that have been captured by the system.	H	Y	Yes		No need if RSI Fraud Module can't handle
3.042	Provides the capability to distinguish taxpayers who are eligible for compensation and allow the compensation to be deducted if the return is filed and paid on time.	H	Y	Yes		This can be accomplished via attributes that are effective dated, and business rules.
3.043	Provides the capability to capture data included on returns on behalf of other agencies, and either securely transfer that specific data to those agencies or enable secure access to that specific data by those agencies.	L	O			This is a capability of Revenue Premier but RSI has not included services in our bid to enable this functionality. — We had it as a Low priority or optional, so we can do without it if not bound by scope
3.044	Supports returns submitting by taxpayers with no monies owed based on tax ordinance rules.	H	Y	Yes		

ID	Requirement				Comments
3.045	The system must automatically recognize and reject or convert to an amended return, duplicate transactions or combinations of transactions according to agency defined business rules, e.g., prohibit two original returns for a single period for the same tax type.	H	Y	Yes	Not done automatically. Rather it worklists and a user changes the form type to amended.
3.046	The system must provide functionality to balance a tax return by using data from supporting attachments that have been captured by the system.	H	Y	Yes	Assuming the line items from the supporting attachments are keyed/captured into a consistent form and included as part of the return being processed as a schedule, Revenue Premier can meet this requirement.
3.047	The system must provide verification of previously paid and refunded money against returns for validation of money claimed, e.g., estimated payments, approved credits, online payments, previous overpays.	H	Y	Yes	
3.048	The system must prevent returns that fail validation or tolerance levels set by the agency from posting to the taxpayer's account until validated or corrected by the internal user.	H	Y	Yes	
3.049	The system must validate specified lines of a return based on agency defined business rules including, for example, Cook County tax identification number, tax type, form type, line ID, number validity, and status of a line as being required, optional, or prohibited given other information on the form.	H	Y	Yes	
3.050	The system must determine if the statute of limitations has expired and vary processing of the information if expired vs. non-expired according to agency defined business rules.	H	Y	Yes	Assuming the statute of limitations (SOL) date is calculatable based on the return/period, business rules could vary based on whether the SOL is expired or non-expired.
3.051	The system must process original returns and multiple amended returns for each tax type for each period according to agency defined business rules.	H	Y	Yes	
3.052	The system must provide functionality to process multiple amended returns per reporting period from the same taxpayer for defined tax types according to agency defined business rules.	H	Y	Yes	
3.053	The system must maintain a history of each return processed until agency defined business rules allow for information to be archived or purged.	H	Y	Yes	
3.054	The system must support manual suspension of return processing based on business rules.	H	Y	Yes	
3.055	The system must support manual and systematic suspensions from aging based on agency defined business rules.	H	Y		Assuming "aging" means managing suspended items, Revenue Premier worklists can be sorted by work item creation date and managed. Case flow rules could also be provided to alert a supervisor.
3.056	Suspended returns must be viewable in the system and must indicate the reason for suspension.	H	Y	Yes	
3.057	The system must automatically reprocess any return in error when a suspension has been released on that tax period.	H	Y	Yes	
3.058	The system must maintain a historical view of suspensions.	H	Y	Yes	Closed work items can be viewed.
3.059	The system must support automated suspension of returns for review based on bank account information, address, and other factors according to business rules, e.g., indication of fraud.	H	Y	Yes	Assuming the data for the rule is on the taxpayer, tax account, attribute, tax period or return form, business rules can be written to suspend returns for fraud.
					Not bound by scope

COOK COUNTY GOVERNMENT
Office of the Chief Procurement Officer
Integrated Tax Processing System (ITPS)

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- RSI

No.	Requirements	DOR Priority	Required (M)	Met OTB or Configuration	Met via 3rd Party/Custom Code Required	Vendor Comments	CCDOR Comments
4.001	Provides the capability to record the date of receipt, batch date, settlement date, and postmark date of payments in order to determine delinquency.	H	Y	Yes			
4.002	Provides the capability to match payments of any form with the associated return data received in various forms (paper, e-file, etc).	H	Y	Yes		Revenue Premier matches based on id, tax, tax id, and period.	
4.003	Provides the capability to apply money paid by a taxpayer in a single payment to multiple tax bills.	H	Y	Yes		Revenue Premier applies the money based on the bill number/coupon. If a single payment is for multiple bills, the payment will can create a work item and then be applied by a user to the other tax periods.	
4.004	Provides the capability to apply money paid by a taxpayer through multiple payments to a single tax bill.	H	Y	Yes		Assuming the bill coupon is provided with the payment.	
4.005	Provides the capability to apply money paid with a single payment to liabilities owed across multiple taxes and multiple reporting periods.	H	Y	Yes		Assuming the bill coupon is provided with the payment.	
4.006	Provides the capability to apply money paid with a single payment to liabilities owed by multiple taxpayers.	H	Y	Yes		Assuming the bill coupon is provided with the payment.	
4.007	Provides the capability to apply overpayments.	H	Y	Yes			
4.008	Provides the capability to allocate money received to tax, penalties and interest according to Department of Revenue business rules.	H	Y	Yes			
4.009	Provides the capability to transfer monies received to other reporting periods within the same tax type for the same taxpayer.	H	Y	Yes			
4.010	Provides the capability to transfer monies received to other reporting periods within the same tax type for a different taxpayer.	H	Y	Yes			
4.011	Provides the capability to transfer monies received to other reporting periods of other tax types for the same taxpayer, including creating the appropriate revenue accounting adjustments.	H	Y	Yes			
4.012	Provides the capability to transfer monies received to other reporting periods of other tax types for a different taxpayer, including creating the appropriate revenue accounting adjustments.	H	Y	Yes			
4.013	Provides the capability to track money received that cannot immediately be associated to a particular taxpayer until it is properly associated with a taxpayer and credited to that taxpayer's account.	H	Y	Yes			
4.014	Provides the capability to track money received that can be associated to a particular taxpayer but not to a specific tax type and/or reporting period until it is properly associated with a specific tax type and/or reporting period and credited to that taxpayer's account including creating the appropriate revenue accounting adjustments.	H	Y	Yes			
4.015	Provides the capability to process miscellaneous payments in cases where taxpayers make occasional payments not requiring official registration with the Department of Revenue.	H	Y	Yes		Per the DOR, this does not happen, and therefore it will not configured by RSI within Revenue Premier.	No need
4.016	Provides the capability to identify those taxpayers meeting the criteria set forth by state law to be mandated to remit monies due to the Department of Revenue through Electronic Funds Transfer (EFT).	H	Y	Yes			
4.017	Provides the capability to store bank routing and account numbers captured from a taxpayer's checks, in compliance with banking regulations and all appropriate laws.	H	Y	Yes		Per the DOR, this does not happen, and therefore it will not configured by RSI within Revenue Premier.	No Need .. Only nee tracking of re-ocurring payments
4.018	Provides the capability to store credit card account numbers captured from credit card transactions, in compliance with PCI DSS standards.	H	Y		Yes	For PCI concerns, we integrate with third party payment providers and only store the credit card token that the third party payment provider sends Revenue Premier.	
4.019	Provides the capability to automatically process ACH Debit Notices of Change received from the bank.	H	Y	Yes		RSI requires clarification on this requirement prior to indicating a self-rating or committing to provide the required functionality.	
4.020	Provides the capability to generate assessments for returned checks and ACH debit transactions, including the ability to add appropriate penalties and fees, and automatically notify the appropriate user.	H	Y	Yes			
4.021	Provides the capability to automatically generate correspondence to the taxpayer notifying them of the returned check or ACH debit, and the additional assessment.	H	Y	Yes			

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ID	Requirement				Comments
4.022	Provides the capability to reverse all transactions generated by a payment when the check or ACH debit associated with the payment is returned by the bank.	H	Y	Yes	
4.023	Provides the capability to manage, capture and record payments under protest based on DOR business rules.	H	Y	Yes	The system provides functionality to separate liability paid under protest from the un-protested liability, and to subsequently transfer payments between these liabilities. The system supports classifying payments under protest to distinct general ledger accounts as necessary. Upon finalizing the protest, the Department either changes the status of the protest debt, which will reclassify the revenue, or adjust the protested debt so that the debt is overpaid. The refund can be issued from the overpaid protest liability.
4.024	The system must separately record and manage amounts that have been paid under protest, including properly accounting for the movement of money posted to, refunded, or released from a protested account.	H	Y	Yes	See 4.023
4.025	The system must account for amounts that are not paid under protest for the same period in which the protest payment was made.	H	Y	Yes	See 4.023
4.026	Users must have ability to edit protest payment amounts and dates, update the status of a protest payment and underlying return information, refund or release protest amount, and perform maintenance on protested payments and periods, using batch and real-time processing, according to defined business rules.	H	Y		Yes
4.027	System must be able to generate notices and reports related to protest payments according to business rules.	H	Y		Yes	Protest management is largely performed through online transactions on the account. However, offline processes can also post adjustments or payments to the protest debts according to business rules.
4.028	System must reconcile protested amounts in the system with protest bank account balances.	H	Y		Yes	Because the protest and unprotested debts, adjustments, and subsequent refunds are distinguished under separate liability records, notices and reports can be generated according to business rules.
4.029	Provides the capability for online payment via ACH debit/credit.	H	Y	Yes	
4.030	The system must support applying single payments to multiple tax periods, tax types, and taxpayers, multiple payments to a single tax period, tax type, and taxpayer or any combination thereof.	H	Y	Yes	
4.031	The system must provide the functionality to transfer monies from one taxpayer, tax period or tax type to other taxpayers, tax periods or tax types according to agency defined business rules.	H	Y	Yes	
4.032	Payment processing must provide functionality based on agency defined business rules for: Directing or re-directing payments; Payment adjustments; Transfer of payments; Transfer of payments; and; Reversal of payments.	H	Y	Yes	
4.033	When one of the above transactions is performed, the system must identify the internal user making any changes, identify the reason, maintain a view of the original and new values, and maintain appropriate audit trails based on agency defined business rules.	H	Y	Yes	

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RSI

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5.001	Provide the capability to manage refund requests based on agency defined business rules. (i.e., Some refund requests are received in the form of amended returns that enter the system very similar to an original return and are processed based on agency defined business rules while other refunds must be scrutinized closely before issuance).	H	Y	Yes			
5.002	Provides the capability to process direct credits that result in amounts due to taxpayers per business rules.	M	Y	Yes		Overpayments can create workitems or can be offset to other periods automatically or manually. Further clarification of the requirement is needed if not supported in this manner.	
5.003	Provides the capability to automatically generate payment instructions to the County's accounting system to distribute funds for refunds.	M	Y		Yes	Site-specific interfaces to/from the County's accounting system.	
5.004	Provides the capability to route for approval refunds that meet defined criteria, including routing through multiple approval steps.	H	O	Yes			
5.005	Provides manual and automatic refund stop codes that can be added, changed and removed as required by designated users.	M	Y	Yes			
5.006	Provides automatic refund stop codes that are based on business rules, such as high dollar stop, that may or may not be released by an authorized user.	M	Y	Yes			
5.007	Provides the capability to automatically release refunds that meet defined criteria or a code set by an authorized user.	M	Y	Yes			
5.008	Provides the capability to initiate refunds manually, with appropriate approvals enforced, and update taxpayer records and generate proper accounting transactions.	H	Y	Yes			
5.009	Provides the capability to manage, capture and record refund requester.	H	Y	Yes			
5.010	Provides the capability to notify designated users that a refund is pending and may be available for offsetting against other liabilities of the taxpayer.	M	Y	Yes			
5.011	Provides the capability to use refunds to offset liabilities across tax types based on the status of the taxpayer's account, as allowable under State law and the Department of Revenue business rules, and generates the proper accounting transactions and a letter to the taxpayer describing the offset.	M	Y	Yes			
5.012	Provides the capability to direct all or a portion of a refund as pre-payment of tax for the next reporting period, as allowable under State law and the Department of Revenue business rules, and generating the proper accounting transactions.	M	Y	Yes			
5.013	Provides the capability to generate a notice to the taxpayer that all or part of a refund has been applied to another outstanding obligation based on Department of Revenue business rules.	H	Y	Yes			
5.014	Provides the capability to account for credit balances that cannot be refunded.	H	Y	Yes		Revenue Premier supports processing of credit balances that cannot be refunded such as payments awaiting a return and credit forwards.	
5.015	Provides the capability to store garnishment requests from other governmental agencies for certain taxpayers.	L	O	Yes		This is a capability of Revenue Premier, but RSI has not included services in our bid to enable this functionality.	We had it as a Low priority or optional, so we can do without it if not bound by scope
5.016	Provides the capability to store offset requests from multiple entities including non-county entities.	L	O	Yes		This is a capability of Revenue Premier, but RSI has not included services in our bid to enable this functionality.	
5.017	Provides the capability to maintain and update offset balance amount for all entities.	L	O	Yes		This is a capability of Revenue Premier, but RSI has not included services in our bid to enable this functionality.	
5.018	Provides the capability to add additional county and non-county entities to the refund offset process.	L	O	Yes		This is a capability of Revenue Premier, but RSI has not included services in our bid to enable this functionality.	
5.019	Provides the capability to reduce refunds due to certain taxpayers in order to satisfy other governmental agency garnishment requests and generate the proper accounting transactions and indicate where a refund was offset to, e.g., other state agency, other state.	H	Y	Yes		This is a capability of Revenue Premier, but RSI has not included services in our bid to enable this functionality.	
5.020	Provides the capability to defer a portion of a refund due based on specific business rules for potential refund off-set.	H	Y	Yes			
5.021	Provides the capability to generate payment instructions to the County's accounting system to distribute funds withheld related to levies or garnishment requests to the appropriate check-off agencies based on DOR business rules.	H	Y			RSI requires clarification on this requirement prior to indicating a self-rating or committing to provide the required functionality.	
5.022	Provides the capability to track refunds issued to taxpayers by name, taxpayer ID, posting date, check or ACH Transfer number, and check or ACH Transfer date, including verifying that a check has been cashed or should be stopped, using data automatically received from the County's accounting system.	H	Y		Yes	Site-specific interfaces to/from the County's accounting system.	

5.023	Provides the capability to cancel and reverse refund checks and ACH transfers.	H	Y	Yes	
5.024	Provides the capability to reissue a refund check and/or redeposit a refund via an ACH transaction and generate the proper accounting transactions.	H	Y	Yes	
5.025	Provides the capability to calculate refund interest using varying rates depending on tax type and tax period.	H	Y	Yes	
5.026	Provides the capability to record refund interest rate changes on a real-time basis, and to maintain a history of the start and end dates for each rate change.	H	Y	Yes	This would require the business rules be recompiled during a planned system maintenance window.
5.027	Overpayments: The overpayment process consists of three possible actions: (1) Credits, e.g., transfers, trust funds, (2) Refunds, and (3) Offsets.	H	Y	Yes	
5.028	The system must support one or more of the actions occurring for a single overpayment. The determination of whether an overpayment is refunded or credited is made by instructions provided by the taxpayer or by agency defined business rules. A credit to the next reporting period shall be considered as a payment of tax. For example, some overpayments remain on the current period while others are automatically applied elsewhere.	H	Y	Yes	
5.029	Refunds must follow multiple processes based on agency defined business rules, including: (1) Approvals based on defined thresholds; (2) Statutory limitations; (3) Holding refunds based on agency defined business rules, e.g., bankruptcy; (4) Stopping a refund prior to check issuance or deposit; (5) Computation of interest payable to the taxpayer and re-computation if not refunded when originally projected; (6) Controls for the amount of refund dollars available for disbursement for a given period of time; (7) Priorities for which refunds shall be issued first; and (8) Exchanging refund data with the statewide accounting system.	H	Y	Yes	
5.030	The system must issue refunds with and without interest.	H	Y	Yes	
5.031	The system must track and report when a refund shall begin to earn interest as defined by agency defined business rules. Interest must only be applied to refunds as defined by agency defined business rules.	H	Y	Yes	
5.032	The system must support the agency's issuance of refunds in the form of a check and by electronic transfer.	H	Y	Yes	
5.033	The system must support the tracking and re-issuance of returned refunds both in paper form and electronic refunds.	H	Y	Yes	
5.034	Refunds are funded from a separate appropriation and are not a reduction of deposits. The system must not net refunds against future deposits.	H.	Y	Yes	
5.035	The system must support the tracking of the authorization, issuance, redemption, and credit balances of tax credits administered by the agency.	H	Y	Yes	
5.036	The system must provide customizable reports using any and all tax credit information based on criteria set by the internal or external user.	H	Y	Yes	
5.037	The system must provide a complete audit trail of all tax credit activity and a wide range of reporting options for providing information to various entities.	H	Y		Site-specific report.
5.038	Some tax credit information shall be deemed confidential and can only be provided to external entities in the aggregate with certain limitations. Where seven (7) or fewer items are in a single category, reporting must combine the items with other similar categories with seven (7) or fewer items to report all similar categories together.	H	Y		Site-specific report.
5.039	The system must support the allocation of tax credits in a variety of ways based on agency defined business rules. Some tax credits shall be allocated on a first-come, first-served basis while others are apportioned among all claimants with a variety of different apportionment methods and dollar amount limits.	H	Y	Yes	
5.040	The system must facilitate the recording and monitoring of limits to certain tax credits by fiscal year or calendar year and notify internal users when that limit is met, preventing other credits from being redeemed according to agency defined business rules.	H	Y	Yes	We just want to know if system can track +ve and -ve payment it terms of how credit is applied
5.041	Provides the capability to record and track tax credits and/or refunds, including transferable credits and credit expiration dates.	H	Y	Yes	

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RSI

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6.001	Provides the capability to calculate applicable penalties, interest, and administrative fees for each specific tax type, including separate tax types filed on the same return, using varying rates depending on tax type and tax period as defined by State law and the Department of Revenue business rules.	H	Y	Yes			
6.002	Provides the capability to have varying rates during the same period.	H	Y	Yes		Per the DOR, this does not happen, and therefore it will not configured by RSI within Revenue Premier. Revenue Premier does support periodic changes to the interest and penalty rates which could occur within a period.	No
6.003	Provides the capability to record penalty, interest, and administrative fee rate changes on a real-time basis, and to maintain a history of the start and end dates for each rate change.	H	Y	Yes			
6.004	Provides the capability to have multiple penalty and interest categories.	H	Y	Yes			
6.005	Provides the capability to update penalties and interest system wide or for specified groups, based on business rule or tax type accounts receivable.	H	Y	Yes			
6.006	Provides the capability to capture and display the "assessed through" date.	H	Y	Yes			
6.007	Provides the capability to generate and print a tax, penalty, interest, and administrative fee calculation worksheet with additional per diem rates that will be sent to the taxpayer.	M	Y	Yes			
6.008	Provides the capability to calculate interest on a real-time basis and create "what if" scenarios projecting the interest to future dates.	H	Y	Yes			
6.009	Provides the capability for authorized users to waive tax, penalties, interest, and/or administrative fees assessed against a taxpayer's account, or allow compensation that has been previously denied, and generate the proper accounting transactions.	H	Y	Yes			
6.01	Provides the audit trail capability for recording the user making the waiver and the reason for the waiver.	H	Y	Yes			
6.011	Provides the capability, using the Department of Revenue business rules, for supervisors to review certain tax, penalty, interest, and/or administrative fee waivers prior to the waiver taking effect.	H	Y	Yes			
6.012	Provides the capability to automatically waive tax, penalty, interest, and/or administrative fees under defined tolerance levels.	M	Y	Yes			
6.013	Provides the capability to automatically write-off amounts under defined tolerance levels.	M	Y	Yes			
6.014	Provides the capability to automatically calculate and assess interest on taxpayer liabilities established in the system for tax types that have not been migrated to the system.	H	O	Yes		This is a capability of Revenue Premier, but RSI has not included services in our bid to enable this functionality.	We had it as Optional, so we can do without it.
6.015	Provides the capability to automatically apply Non-Sufficient Funds (NSF) fee(s) and/or charges based on Department of Revenue business rules.	H	Y	Yes			
6.016	Provides the capability to "freeze" interest rates, especially in relation to voluntary disclosure.	H	Y	Yes		Revenue Premier supports the ability to "freeze" interest calculations on a period, which is the intent of this requirement.	

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		DOR Priority	Required (Y)	Met OTB or Configuration	Met via 3rd Party/Custom Code Required		
7.001	Provides the capability for users to view complete detail of data captured from returns, payments and other documents received from taxpayers.	H	Y	Yes			
7.002	The system must provide comprehensive views and inquiries that consolidate information within the taxpayer's account. A number of views must be available to display consolidated data of all tax types and functions. Views must include, at a minimum: Overview of the taxpayer's demographic and history of changes; Current status; Payment history; Financial position; Summaries of the taxpayer's financial position across tax types and periods; Summaries of the information associated with a particular tax account period across all functions; Summary of all associations of a taxpayer across all tax types; Source of the return(s), e.g. paper, electronic; Source of the payment(s); Summary of bond activity; Asset and employment information; Summary of collection activity; Tax filings, missed filings, and future filing due dates; and Return information as provided by the taxpayer, as entered into the system, as processed (with initial adjustments), and as subsequently adjusted, for both paper and electronic returns.	H	Y	Yes			
7.003	Provides the capability to search for transactions using transaction data such as transaction number, document locator number, check routing and account number, check number, transaction or payment amount, specific date or range of dates, etc. (ex. Accounts receivable and iNovah information).	H	Y	Yes		Some of the fields are searchable, but not all (i.e., check number, transaction or payment amount, specific date or range of dates cannot be searched independently) due to performance issues. Typically you have name, id, address or DLN from the check to narrow the search.	
7.004	Provides the capability to enter transactions that adjust taxpayer accounts in real time, with the results reflected immediately upon update.	H	Y	Yes			
7.005	Provides the capability to distinguish taxpayer initiated transactions from those initiated by the Department of Revenue, (ex. Voluntary Disclosure).	H	Y	Yes			
7.006	Provides the capability for users to enter adjusting transactions through the use of a GUI.	H	Y	Yes			
7.007	Provides the capability, using the Department of Revenue business rules, for supervisors/peers to be notified and/or to approve transactions and data entered by users before posting of the transactions.	H	Y	Yes		Revenue Premier posts the financial effect and then creates exceptions, if necessary, for user review based on business rules.	
7.008	Provides a mechanism to make sure no liabilities exist for a taxpayer prior to issuing a tax clearance letter (ex. Tax refunds).	H	Y	Yes			
7.009	Provides the capability to track and report revenue transferred between tax types and tax periods including detailed explanation of the transfers.	H	Y	Yes			
7.010	The system must maintain a viewable history all actions taken on a taxpayer's account, including, at a minimum, date, action taken, and what internal or external user performed the action.	H	Y	Yes			

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			Required (Y)	Met OTB or Configuration	Met via 3rd Party/Custom Code Required		
8.001	Provides the capability to automatically translate financial transactions that were posted to a taxpayer's account into Revenue Accounting journal items that are then posted to Revenue Accounting summaries.	H	Y	Yes			
8.002	Provides the capability to process journal entries to adjust or reallocate revenue accounting transactions.	H	Y	Yes			
8.003	Provides the capability for a user to validate financial deposits by comparing deposit totals by tax type to taxpayer account summary totals by tax type and to Revenue Accounting summary totals by tax type.	H	Y	Yes			
8.004	Provides the capability to automatically allocate, based on the Department of Revenue business rules, specific tax types to various revenue accounts and funds as returns are processed (accrual basis).	H	Y	Yes			
8.005	Provides the capability to automatically allocate, based on the Department of Revenue business rules, specific tax types to various revenue accounts and funds as payments are processed (cash basis).	H	Y	Yes			
8.006	Provides the capability to allocate and/or distribute payments received for the combined billings of county and local jurisdictional taxes.	H	Y	Yes			
8.007	Provides the capability to automatically transfer revenue accounting entries to the County's general accounting system. (Currently JD Edwards).	M	Y			Per the DOR, this requirement is no longer required.	No interfacing with the JDEdwards
8.008	Provides tools to support reconciliation of accounting information throughout the process, from receipt through posting and distribution to the County's general accounting system (Note: This functionality will be included in the future ERP system).	H	Y	Yes			
8.009	Supports double entry accounting.	H	Y	Yes			
8.010	Incorporates an integrated fund accounting system, including general ledger capabilities.	H	Y	Yes			
8.011	Provides the capability to search on tax type, tax periods and on revenue account number.	H	Y	Yes		RSI assumes the search criteria would be ID, Name, and address.	
8.012	Provides the capability to reconcile Revenue Accounting system to bank deposits on a daily, monthly, quarterly and annual basis.	H	Y	Yes			
8.013	Receive and account for multiple types of payments including, but not limited to, cash, checks, EFT, ACH, debit and credit cards, and money orders.	H	Y	Yes			

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				Vendor Requirement Self-Rating Values			
9.001	Provides the capability of identifying and selecting taxpayers for audit based on comparison of common items between taxpayers across business groups and classes.	H	O	Yes		RSI will provide services to implement one judgmental model for the selection of audit candidates and teach the DOR how to use the tools so they can do more.	
9.002	Provides the capability to search and identify taxpayers of related entities (i.e. corporate officers, shareholders, addresses, etc.).	H	Y	Yes			
9.003	System shall retain a minimum seven (7) year audit history.	H	Y	Yes			
9.004	Provides the capability of identifying and selecting taxpayers for audit based on tax type.	H	Y	Yes			
9.005	Provides the capability of identifying and selecting taxpayers for audit based on comparison of common deductions between taxpayers.	M	Y	Yes			
9.006	Provides the capability of identifying and selecting taxpayers for audit based on tax payment levels.	M	Y	Yes			
9.007	Provides the capability of identifying and selecting taxpayers for audit based on sales levels.	M	Y	Yes			
9.008	Provides the capability of identifying and selecting taxpayers for audit based on income levels.	M	Y	Yes			
9.009	Provides the capability of identifying and selecting taxpayers for audit based on income sources (i.e. W-2's, 1099's, capital gains.)	H	Y		Yes	RSI will provide services to implement one judgmental model for the selection of audit candidates and teach the DOR how to use the tools so they can do more.	No data
9.010	Provides the capability of identifying and selecting taxpayers for audit based on assets owned (i.e. motor vehicles, real estate.)	H	Y	Yes			
9.011	Provides the capability of identifying and selecting taxpayers for audit based on previous tax payment amounts adjusted for audited amounts as compared to current tax payments.	H	Y	Yes			
9.012	Provides the capability of identifying and selecting taxpayers for audit based on error rates on tax returns.	H	Y	Yes			
9.013	Provides the capability of identifying and selecting taxpayers for audit based on tax preparers.	H	Y	Yes			
9.014	Provides the capability to combine multiple variables to assess a comparative score for audit prioritization.	M	Y	Yes			
9.015	Provides a robust audit case management capability that allows audit groups and/or individuals to record activity on cases, schedule the next appropriate action, and provide a basis for individual workload scheduling, follow-up and case load evaluation.	H	Y	Yes			
9.016	Provides the capability to track and record hours worked by assigned auditor on case activities.	M	Y	Yes			
9.017	Provides the capability to send notices based on audit selection criteria.	H	Y	Yes			
9.018	Provides a "tickler" capability to create follow up notices for selected taxpayers.	H	Y	Yes			
9.019	Provides the capability to automatically update audit case information when new taxpayer profile information is added.	H	Y	Yes			
9.020	Provides a means for denoting which taxes and which tax periods have been or are under audit in order to create a work item and notify the assigned auditor in the event amended returns are filed for those periods.	H	O	Yes			
9.021	Provides the capability to designate various audit stages and status (e.g. in progress, in review, in appeal, protest, hearing, administrative hearing, etc.), and to allow for that designation to impact the handling of certain transactions.	H	Y	Yes			
9.022	Provides the capability to adjust or amend audit and compliance transactions without losing the integrity of the original audit.	H	Y	Yes			
9.023	Provides the capability to upload audit information from external databases.	H	Y	Yes			
9.024	Provides the capability to create audit work papers from within the integrated tax system.	H	O	Yes		Revenue Premier includes a module named Audit Toolkit that allows for laptop-based audit workpaper capabilities. RSI has included services costs for configuring and deploying audit workpaper capabilities for the four largest tax types that are audited by the DOR. Additional tax types can be configured by the DOR after knowledge transfer activities are complete.	
9.025	Provides the capability to create assessments from audit selection criteria, recalculate tax, update taxpayer record and automatically bill the taxpayer.	H	Y	Yes			
9.026	Provides a mobile audit capability that allows audit case information and workpapers to be downloaded to a laptop or other mobile device, data to be updated on that device, and the updated data to be uploaded into the integrated tax system.	H	O	Yes			
9.027	Provides the capability to upload and download data between the integrated tax system and audit work papers created in Excel and other separate applications.	H	Y	Yes			Yes
9.028	Provides a criminal investigation case management capability to enable users to track activities and record comments related to investigations.	M	Y	Yes			
9.029	Provides the capability for authorized users to place holds on other activities at the taxpayer, account, or period level based the status of a criminal investigation.	H	Y	Yes			
9.030	Provides the capability of generating a full audit report for a specified period based on selected audit case information (Includes table of contents, memos, reports etc.)	H	Y	Yes			
9.031	The system shall provide the capability for a voluntary discloser to remit or enter a payment agreement to pay the full amount of tax and interest that is computed to be due, and must interact with and if necessary bypass business rule specified portions of the Refund, Audit, Collections, Tax Discovery Business modules.	H	Y	Yes			
9.032	Provides the capability for voluntary disclosure to extend the audit period beyond the normal 7 years.	H	Y	Yes			
9.033	Provides the capability for an Audit Log to be automatically filterable via business rules as well as user input manual selections.	H	Y	Yes			

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RSI

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10.001	Provides a robust inventory management and tracking system for programs such as cigarette stamps, wheel tax decals/plates, dealer emblems, and gaming decals.	H	Y	Yes		Revenue Premier supports the electronic tracking of physical inventory items.	cigarette stamps, wheel tax decals/plates, dealer emblems, and gaming decals.
10.002	Provides the capability for online ordering of cigarette stamps, wheel tax decals/plates, dealer emblems, and gaming decals, including automatic creation of a work item for designated users to fill the order.	H	Y		Yes	Portal Requirement. RSI will expose a GUI page that will allow users to request each of the four physical inventory item types online through their Portal account.	
10.003	Provides the capability to automatically create documents related to purchase orders.	H	O	Yes		RSI will provide capabilities for the user to manually produce the invoice from the system.	
10.004	Provides the capability to verify receipt of payment or bond security.	H	Y	Yes			
10.005	Provides the capability for an online tool for license or permit holders to directly enter data specific to the tracking of cigarette stamps, gaming decals, wheel tax decals/plates, and wheel tax dealer emblems.	H	Y	Yes		Revenue Premier can capture license, decal numbers and cigarette numbers for history and tracking purposes. This information is generally not input by the taxpayer but the agency.	Basically to be able to capture license, decal numbers and cigarette numbers for history and, tracking and cross references purposes
10.006	Provides the capability for an online tool for license or permit holders and townships to submit data in bulk format (XML or similar).	H	Y	Yes			
10.007	Provides the capability for an online tool for the ad hoc maintenance of cigarette stamp, wheel tax decal/plates, dealer emblem, and gaming decal data on a day-to-day basis (as opposed to submitting monthly, quarterly or annual reports).	H	Y			RSI does not allow taxpayers to manipulate the agency's record of inventory items. Typically the taxpayer will notify the agency of damaged or destroyed inventory through an agency issued form.	
10.008	Provides the capability for internal users to retrieve information about an individual stamp or a set of stamps, decals or emblems, to include the details of the stamp/decal/plates/emblem's lifecycle such as date sold and to which manufacturer, permit holder, operator, wholesaler, township, and dealer. Data should include, when applicable, information pertaining to the device/item to which the sticker/emblem/decal/plate is affixed.	H	Y	Yes		Assumption is Inventory Management notes would work for the last sentence.	
10.009	Provides the capability to track by individual stamp and by stamp and decal rolls or sheets, depending on stamp type.	H	Y	Yes			
10.010	Provides the capability to track by stamp/decal denomination.	H	Y	Yes			
10.011	Provides the capability to automatically validate between reporting and order history.	H	Y	Yes	Yes	Site-specific report.	
10.012	Provides the capability to record and reconcile physical inventories.	H	Y	Yes			
10.013	Provides the capability to capture financial institution certification contact information, escrow account number, county account number, and escrow deposit/withdrawal history for Cook County. (i.e., surety bonds)	H	Y	Yes			
10.014	Provides the capability to input yearly escrow rates adjusted for inflation (i.e., surety bonds).	H	Y	Yes			
10.015	Provides the capability to automatically generate correspondence when escrow is not paid and when certification has been granted (i.e., surety bonds).	H	Y	Yes			
10.016	Provides the capability to store resident agent of service/decal manufaturer's contact information by manufacturer (ex. gambling stickers, wheel Tax stickers, and cigarettes stamps).	H	Y			RSI requires clarification on this requirement prior to indicating a self-rating or committing to provide the required functionality.	
10.017	Provides the capability to capture amount and UPC codes of all tobacco products sold in Cook County by distributor and manufacturer.	H	Y			Per the DOR, not required.	No need
10.018	Provides the capability to prepare seized cigarettes and other tobacco product inspection assessments.	H	Y	Yes		Within Revenue Premier, Seizure case type can be created with case notes. Inventory management can also be updated.	
10.019	Provides the capability to upload electronic information received from U.S. Customs and generate a report for auditor review.	H	Y		Yes	Site-specific interface & compliance program	
10.020	Provides the capability for auditors to update/correct product amount, brand, style, UPC, etc. data on a real-time basis.	H	Y	Yes		Site-specific report.	
10.021	Provides the capability to produce a reconciliation report that accounts for returned and destroyed inventory.	H	Y		Yes	Site-specific report.	

COOK COUNTY GOVERNMENT
Office of the Chief Procurement Officer
Integrated Tax Processing System (ITPS)

Instructions
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Productization: RSI

No.	Requirements	DCR Priority	Required (Y)	Met OTB or Configuration	Met via 3rd Party/Custom Code Required	Vendor Comments	CCDOR Comments
11.001	Provides the capability for the Department of Revenue to define and implement workflow functionality for various business processes such as document processing, exception handling, customer service, auditing, collections, appeals, refunds and investigations. Note: Workflow functionality will be included in all major business functions and processes. All case activity must be managed by the system. Case activity encompasses all activity occurring on an account by period and may include, for example, the following broad categories: Abatements, compromises, and settlements; Protests with and without payment; Account maintenance; Suspensions; Refunds; Bankruptcy; Litigation; Liability aging, noticing, and collection	H	Y	Yes			
11.002	Provides workflow management component directed by business rules to assign and route open issues/suspended/work listed items regardless of where they occur within Department of Revenue to the appropriate section/unit or individual within Department of Revenue, for example registration type, return type, age, dollar value, error type/code, etc., case type or status, or a combination of several factors, for example in collections the need to place a wage levy on an account and place a professional license hold on an account, installment payment plan not met.	H	Y	Yes			
11.003	Provides the capability to define error correction and exception handling work processes for all document and transaction processing, including generating letters and notices for appropriate communication with taxpayers (e.g., incomplete returns, deficiency notices, etc.), and providing for appropriate approvals. Work processes must take into account all related transactions to ensure complete and accurate communication with the taxpayer.	H	O	Yes		This requirement is not bound by scope. RSI will limit services related to this requirement to forms and notices that are in scope. Each workflow item that is created, is created for independent events and will not account for "all related transactions".	
11.004	Provides the capability to attach notes or comments to taxpayer records at account, tax type, period, license, audit, collection, or appeals level and the capability to filter or have business rules applied to the notes and comments.	H	Y	Yes		Notes appear at the taxpayer, tax account, tax account period, inventory and case level in Revenue Premier	
11.005	Provides the capability to view, search and update notes or comments on taxpayers records at the account, tax type, period, license, audit, collection, appeals or user level and the capability to filter or have business rules applied to the notes and comments.	H	Y		Yes	Notes are stored at the taxpayer, tax and case level. Users can view notes. Searches (i.e. keyword search within a note) would require notes be stored in content management. Business rules cannot access free form notes.	
11.006	Provides the capability to force attachment of notes or comments to taxpayer records triggered by certain system events.	H	Y	Yes		Online updates can force note creation however, RSI's clients have decided it is cumbersome to implement this requirement given the specific information that is already available in the solution (who, when, reason codes, etc.)	
11.007	Utilizes workflow technology to sort, prioritize and automatically route work to the appropriate user.	H	Y	Yes			
11.008	Provides the capability for a user to "pull" a work item that is unassigned in a workflow queue.	H	O	Yes			
11.009	Provides the capability to allow an authorized user to "push" work items to employees using workflow.	H	O	Yes		This is a capability of Revenue Premier, but RSI is limited the configuration work to assignment of audit cases to auditors.	
11.010	Provides the capability to allow an authorized user to bulk assign work items to employees using workflow.	H	O	Yes			
11.011	Provides the capability to assign priorities to work items.	H	Y	Yes			
11.012	Provides the capability to automatically increment priorities of work items over time as the work item goes unworked.	H	Y	Yes			
11.013	Provides the capability to manually increment priorities of work items on an as needed basis.	H	Y	Yes			
11.014	Provides the capability to allow a user to expedite a business process from beginning to end on an emergency basis.	H	Y	Yes			
11.015	Provides the capability to allow an authorized user to place a completion date on a process, giving the process a deadline of when to be completed.	H	Y	Yes			
11.016	Provides the capability to automatically assign completion dates for certain types of work items.	H	Y	Yes			
11.017	Provides the capability to allow a user to place a reminder (tickler) on a work item.	H	Y	Yes			
11.018	Provides the capability to allow an authorized user to transfer a work item assigned to one user to a different user.	H	Y	Yes			
11.019	Provides the capability for users to view and print a summary of their own production statistics.	H	Y	Yes			

11.021	Provides the capability for supervisors to view and print a summary of their subordinate's production statistics.				
11.023	Provides the capability to notify the appropriate user when correspondence, payments, and any account changes have been received and identified as being relevant to a specific taxpayer.	H	Y	Yes	RSI has assumed that any forms redesign, including the placement of barcodes or scan lines on turnaround documents will be the responsibility of the DOR. RSI will configure Revenue Premier to produce the outbound correspondence.
11.024	Provides the capability to notify the appropriate user when correspondence, payments, and any account changes have been received and have not been identified as related to a specific taxpayer.	H	Y	Yes	Yes : or is this not normally done in a TAX system with cross referencing certain information? (are you asking if we looking for information related to the unidentified tax payer in the system? Or just out there in the world unidentified?)

RSI has included white mail processing in scope. |
| 11.025 | Provides the capability to set statute of limitation manually based on the Department of Revenue business rules at any level, or triggered automatically by correspondence, payment or anything affecting the account. | H | Y | Yes | SQL functionality are you referencing this to 11.25 which states "Provides the capability to set statute of limitation manually based on the Department of Revenue business rules at any level, or triggered automatically by correspondence, payment or anything affecting the account" if so... then it is our assumption that your system would provide functionality to manually write SQL states or generate Trigger codes

I assume whether the solution allows for SQL query functionality.

SQL dates are tracked and can be overridden. Notice and alerts can also be triggered. |
11.026	Provides the capability to calculate the statute of limitations from the original filing dates for original and amended returns for initiating certain actions, and then re-calculate the dates as actions are taken (e.g. filing of amended returns, sending out notices of deficiency, notices of audit, statutory waivers, etc.).	H	Y	Yes	
11.027	Provides the capability of displaying the statute of limitations date on certain screens.	H	Y	Yes	
11.028	Provides the capability to automatically notify designated users at certain times in advance of the statute of limitations date.	H	Y	Yes	
11.029	The system will have the capability to perform subsequent processing based upon business rules established for response or non-response to the correspondence, for example, notify a designated user when correspondence has been received in response to CCDOR correspondence to a specific taxpayer and notify a designated user when correspondence has not been received in response to CCDOR correspondence after the period defined in CCDOR business rules.	H	Y	Yes	
11.030	When adjustments are made to an account, the system must track activity to the authorized internal user and approver, and support requiring a note in the system as to why the adjustment was made.	H	Y	Yes	
11.031	The system must notify all internal users of conditions, such as bankruptcy, requiring special treatment of a taxpayer's account and transfer the workflow items to a specific workflow group so that additional actions are restricted to certain internal users based on agency defined business rules.	H	Y	Yes	
11.032	Provides the capability to track and log history of work item transfers.	H	Y	Yes	

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Productization: RSI

No.	Requirements	DOR Priority	Required (Y)	Met OTB or Configuration	Met via 3rd Party/Custom Code Required	Vendor Comments	CCDOR Comments
12.001	Provides a robust collections case management capability that allows collections groups and/or individuals to record activity on cases, schedule the next appropriate action, and provide a basis for individual workload scheduling, follow-up and case load evaluation.	H	Y	Yes			
12.002	Provides the capability for users to assign collection cases for governmental offsets across tax types based on the Department of Revenue business rules including notification to taxpayers.	M	Y		Yes	Revenue Premier will maintain a common table of debts pending offset that can be populated/maintained by the DOR as more offset partners are identified.	we have 1 state agency and would like 2-3 more and we just want to track it, no do the actual offsets
12.003	Provides the capability to automatically assign collection cases for governmental offsets across tax types based on the Department of Revenue business rules including notification to taxpayers.	M	Y		Yes	Revenue Premier will maintain a common table of debts pending offset that can be populated/maintained by the DOR as more offset partners are identified.	
12.004	Provides the capability to categorize accounts based on billing status.	H	Y	Yes			
12.005	Provides the capability to differentiate between fixed (not appealable) and non-fixed (appealable) assessments within each tax period.	H	Y	Yes		RSI requires clarification on this requirement prior to indicating a self-rating or committing to provide the required functionality.	
12.006	Provides the capability for authorized users to place a "hold" on an account, specific tax type, or specific period, including start and stop dates for the "hold", so that further collection activity will be suspended while the "hold" is in effect.	H	Y	Yes		Authorized users can put a hold on a case in Revenue Premier, not taxpayers, tax accounts or periods.	
12.007	Provides the capability for authorized users to release a "hold" that was previously placed on an account.	H	Y	Yes			
12.008	Provides the capability to suspend collection activity on taxpayers until revocation hearings or civil and criminal proceedings are concluded.	H	Y	Yes			
12.009	Provides the capability to manually generate liens based on the Department of Revenue business rules that reflect the total liabilities due from the taxpayer including the appropriate lien fee.	H	Y	Yes			
12.010	Provides the capability to automatically generate liens based on the Department of Revenue business rules that reflect the total liabilities due from the taxpayer including the appropriate lien fee.	H	Y	Yes			
12.011	Provides the capability to automatically generate a lien renewal based on the Department of Revenue business rules and to create a work item when the lien expiration date is approaching.	H	Y	Yes			
12.012	Provides the capability to interface with other state and local agency systems for automatically filing liens.	M	Y		Yes	Interface to support two lien partners will be developed.	we have 2
12.013	Provides the capability to archive lien information with a separate set of purging rules other than taxpayer information.	H	Y	Yes			
12.014	Provides the capability to produce a consolidated billing notice of all outstanding liabilities for a taxpayer on demand.	H	Y	Yes		Per the DOR, this requirement is not needed.	No need
12.015	Provides the capability to produce a consolidated billing notice of all outstanding liabilities for a taxpayer at regularly scheduled intervals.	H	Y	Yes			
12.016	Provides the capability to establish a taxpayer liability for billing and collection purposes for tax types that have not been migrated to the system.	M	Y	Yes			
12.017	Provides the capability to send billing notices to multiple responsible parties (e.g. corporate officers, divorced spouses, etc.).	H	Y	Yes		Per the DOR, this requirement is not needed.	No need
12.018	Provides the capability for establishing a Settlement Agreement for a taxpayer with outstanding liabilities on request. The proper interest and penalties will be forecasted and payment coupons must be able to be printed and delivered electronically.	H	Y	Yes			
12.019	Provides the capability for establishing a financial hardship payment plan for a taxpayer with outstanding liabilities on request. The proper interest and penalties will be forecasted and payment coupons must be able to be printed and delivered electronically.	H	Y	Yes			
12.020	Provides the capability for authorized users to enter assessment information and immediately print "jeopardy" assessment notices and forced collection documents.	H	Y	Yes			
12.021	Provides the capability to automatically create a work item when the collections statute of limitations date is approaching.	H	Y	Yes			
12.022	Provides the capability for authorized users to amend assessments when changes to the original liability are made.	H	Y	Yes			
12.023	Provides the capability to automatically assign collection cases to the proper Department of Revenue employee based on tax types.	H	Y	Yes			
12.024	Provides the capability to manually or automatically assign collection cases to external entities based on the Department of Revenue business rules.	H	Y	Yes			
12.025	Provides the capability to automatically assign collection cases to the proper Department of Revenue employee based on the taxpayer's zip code.	H	Y	Yes			
12.026	Provides the capability to automatically assign collection cases to the proper Department of Revenue employee based on the Department of Revenue business rules.	H	Y	Yes			
12.027	Provides the capability to manually assign collection cases to the proper Department of Revenue employee.	H	Y	Yes			
12.028	Provides the capability to temporarily reassign collection cases to the proper Department of Revenue employee based on Department of Revenue business rules.	H	Y	Yes			
12.029	Provides the capability to flag/code collection activity and send to a third party collection agency.	H	Y	Yes			
12.030	Provides the capability to upload data from the State of Illinois Offset Program to determine if state refund monies are available to offset amounts owed to the County.	H	Y		Yes	Site-specific interface.	
12.031	Provides the capability to automatically write-off certain liabilities or credit balances based on the Department of Revenue business rules.	H	Y	Yes			
12.032	Provides the capability for authorized users to manually write-off liabilities or credit balances.	H	Y	Yes			
12.033	Provides the capability to recall accounts and offsets from a collection agency.	H	Y	Yes			
12.034	The system must manage payment of multiple fees and penalties for each tax type including, for example, returned payment fees, treasury offset fees, tax credit penalties, and recorder lien fees.	H	Y	Yes			

ID	Requirement				Comments
12.035	The system must support taxpayers setting up recurring payments online and store payment information for future use.		Y	Yes	
12.036	The system must capture, update, and archive banking information such as bank name, routing number, account number, and associate the information to the taxpayer and tax type.	H	Y	Yes	
12.037	The system must store and use banking information for garnishments and other types of activities.	H	Y	Yes	
12.038	The system must store and use taxpayer employment information for garnishments and other types of activities.	H	Y	Yes	
12.039	The system must support configuration of the order in which payments apply to tax, penalties, fees, interest, or other defined debts based on agency defined business rules. The order in which payments apply can be different for different tax types and transaction types.	H	Y	Yes	
12.040	The system must process payments for prior reporting periods, archived periods, and for periods no longer maintained on the system.	H	Y		Payments can processed and deposited, but if no periods, they will suspend for resolution (re-creation of the period may be required).
12.041	The system must support reversal of all transactions generated by a payment when the payment is returned by the bank. The system must recalculate additions to tax, interest, penalties, and fees following agency defined business rules if a payment is reversed.	H	Y	Yes	
12.042	The system must create the appropriate notice necessary for the recovery of returned checks (payments) as well as initiate any other collection notices for recovery of the tax period liability, following agency defined business rules.	H	Y	Yes	
12.043	The system must reapply payments to recalculated tax, additions to tax, penalty, interest, and fees if part of debt is later waived, abated, compromised, or otherwise adjusted.	H	Y	Yes	
12.044	The system must support payments made under protest. The system must account for protest payments separately from other payments according to agency defined business rules.	H	Y		RSI requires clarification on this requirement prior to indicating a self-rating or committing to provide the required functionality.
12.045	The system must support offsets to and from external entities.	H	Y	Yes	Site-specific interface.
12.046	The system must indicate the source of an offset payment, e.g., where payment came from, tax type, and entity.	H	Y	Yes	
12.047	Account Adjustments: The system must support a wide range of adjusting transactions. Such adjustments must include, at a minimum: Transaction adjustments; Period adjustments; Transfers, e.g., between tax types, between agencies, between accounts; Refund corrections; Payment adjustments; Settlements; Write-offs (final pays); and; Abatements.	H	Y	Yes	
12.048	The system must support the separate abatement of tax, interest, penalty, and balance write-offs by authorized internal users. Reversal functions must also be available for these transactions.	H	Y	Yes	Revenue Premier can restrict the users who have access to abatement functionality through security.
12.049	The system must perform abatements and write-offs based on agency defined business rules.	H	Y	Yes	
12.050	The system must support acceptance of a payment received for a previously written-off liability and permit re-establishing the liability according to agency defined business rules.	H	Y	Yes	
12.051	The system must support adjustments to taxpayers' accounts using a combination of agency-defined business rules and workflow processes to make and approve the adjustments real time. After adjustments are made, there must be automatic recalculations of the financial data and triggering of any subsequent account actions.	H	Y	Yes	
12.052	The system must allow for real-time payments on the adjusted amount, i.e., the adjustment does not have to process overnight before a payment can be applied to the new balance.	H	Y	Yes	
12.053	Provides the capability of identifying delinquent taxpayers that have not filed specific reports or returns, and automatically generate reminders in various formats.	H	Y	Yes	
12.054	Provides the capability to identify delinquent filers based on Department of Revenue business rules for each tax type and/or report.	H	Y	Yes	
12.055	Provides the capability to reconcile payments (including electronic payments) with the electronically submitted return before the issuance of any collection notices as defined by the Department of Revenue.	H	Y	Yes	

COOK COUNTY GOVERNMENT
Office of the Chief Procurement Officer
Integrated Tax Processing System (ITPS)

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Productization: RS1

No.	Requirements	DOR Priority	Required (Y)	Met OTB or Configuration	Met via 3rd Party/Custom Code Required	Vendor Comments	CCDOR Comments
				Vendor Requirement Self-Rating Values			
13.001	Provides the capability to flag the taxpayer's profile and signal users that a taxpayer has filed for bankruptcy.	H	Y	Yes			
13.002	Provides the capability to update a taxpayer's record with bankruptcy information (i.e. date of petition, bankruptcy case number, expiration date for filing proof of claim and date of discharge or dismissal.	H	Y	Yes			
13.003	Provides the capability to remove a bankruptcy designator from the taxpayer's profile.	H	Y	Yes			
13.004	Provides the capability to designate the bankruptcy category and apply different handling rules for each category.	H	Y	Yes			
13.005	Provides the capability to identify, update and maintain bankruptcy contact and trustee information.	H	Y	Yes			
13.006	Provides the capability to designate which periods are covered by the bankruptcy and apply the handling rules accordingly.	H	Y	Yes			
13.007	Provides the capability to code existing liabilities with multiple different codes.	H	Y	Yes		Existing liabilities can be marked as being part of a bankruptcy.	
13.008	When a taxpayer's profile indicates the taxpayer is in bankruptcy, automatically routes any refunds due to the taxpayer to the bankruptcy trustee.	H	Y			Per the DOR this does not happen, and therefore the services to configure this functionality are not included.	No need
13.009	Provides the capability to produce a Bankruptcy Proof of Claim and applicable exhibits with interest computed to an applicable date.	H	Y	Yes			
13.010	Provides the capability to consolidate activities, suspend collection activities, suspend return delinquency and revocation processes, and generate a bankruptcy claim when the Department of Revenue receives notice of a taxpayer filing for bankruptcy.	H	Y	Yes			
13.011	Provides the capability to accommodate calculations related to Chapter 11 liabilities which is re-organization for business bankruptcy concerning pre-petition (usually up to the date of filing bankruptcy) and Post -petition (after that date of bankruptcy)	H	Y	Yes			

COOK COUNTY GOVERNMENT
Office of the Chief Procurement Officer
Integrated Tax Processing System (ITPS)

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Productization: RSI

No.	Requirements	Vendor Requirement Self-Rating Values				Vendor Comments	CCDOR Comments
		DOR Priority	Required (Y)	Met OTB or Configuration	Met via 3rd Party/Custom Code Required		
14.001	Provides a variety of data analysis tools that will allow users to perform on-line ad-hoc queries, "what if", trend, comparison, graphical, "drill-down" and other types of analysis required to support discovery, compliance, departmental management, economic analysis and executive decision-making functions.	H	Y		Yes	Much of this functionality is provided by Portfolio Warehouse combined with SSRS, but more of the "what if", trend and economic analysis would need a more robust BI tool. RSI has not included additional BI software (beyond SSRS) or services to meet this requirement.	YES : can be considered optional and BCT review possible licenses to leverage
14.002	Provides the capability to download data into external analytical applications.	H	Y	Yes		This is a capability (selections/downloads) of Revenue Premier, but RSI has not included services in our bid to enable this functionality.	
14.003	Provides dashboard capability to display on demand in a graphical format key performance indicators monitoring productivity, revenue, receivables and caseloads.	H	Y	Yes			
14.004	Provides the capability for the user to build a customized dashboard.	H	Y		Yes	This is a capability of Revenue Premier, but RSI has not included services in our bid to enable this functionality. More robust BI Tool than SSRS would be needed.	
14.005	Provides the capability to create structured views of the data (e.g. data cubes) to enable users, without programmer involvement, to create ad hoc queries.	H	Y		Yes	This is a capability of Revenue Premier, but RSI has not included services in our bid to enable this functionality. More robust BI Tool than SSRS would be needed.	
14.006	Provides the capability to display data in different formats (spreadsheets, graphs, etc.).	H	Y		Yes	This is a capability of Revenue Premier, but RSI has not included services in our bid to enable this functionality. More robust BI Tool than SSRS would be needed.	
14.007	Provides the capability to directly sort and filter results from queries and other raw data lists.	H	Y		Yes	This is a capability of Revenue Premier, but RSI has not included services in our bid to enable this functionality. More robust BI Tool than SSRS would be needed.	
14.008	Provides the capability to export data into standard desktop tools including the latest versions of MS Word, MS Excel, MS Access and Adobe Acrobat.	H	Y	Yes			
14.009	Provides an integrated data warehouse.	H	Y	Yes			
14.01	Supports interfaces with other data warehouses.	H	Y	Yes		This is a capability of Revenue Premier but RSI has not included services in our bid to enable this functionality.	
14.011	Provides the capability to upload data from various external sources (e.g. Secretary of State data, Illinois Gaming Board, benchmarking data, etc.) and make the data available for comparative analysis with other data elements maintained in the integrated tax system.	H	Y	Yes		This is a capability of Revenue Premier but RSI has not included services in our bid to enable this functionality.	
14.012	Provides the capability within the data warehouse, in accordance with the retention schedule, to sanitize or anonymize the revenue data to remove the tax payer information, but maintain the revenue information. (Ex. FOIA request)	H	Y		Yes	This capability would be provided on the printed documents provided in regards to a FOIA request. RSI has not included services in our bid to enable this functionality in EngageOne.	
14.013	Provides the capability to export selected data and/or results of queries for external viewing on the Department of Revenue or other State websites.	H	Y	Yes		This is a capability of Revenue Premier but RSI has not included services in our bid to enable this functionality.	

| 14.014 | Provides the capability to segment data by a specific tax year or specific fiscal year. | H | Y | Yes | This is a capability of Revenue Premier but RSI has not included services in our bid to enable this functionality. |

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Productization : RSI

No.	Requirements	DOR Priority	Required (Y)	Met OTB or Configuration	Met via 3rd Party/Custom Code Required	Vendor Comments	CCDOR Comments
15.001	The system shall have the ability to create a file containing the name, address, identifier number, and any other unique information of taxpayers to send to a contractor who labels, mails tax notices, and/or other documents.	H	Y		Yes	Site-specific interface.	
15.002	The system shall provide the ability to generate taxpayer listing by zone.	H	Y		Yes	Site-specific report.	
15.003	The system shall provide for point in time history reporting.	H	Y		Yes	Site-specific report.	
15.004	The system shall include a robust reporting tool.	H	Y		Yes	SSRS	
15.005	Provides the capability to generate pre-defined correspondence, with demographic and other data fields uploaded from the system. Examples include, but are not limited to, notices of adjustment, delinquency and deficiency notices, billing notices and statements of account, license and permit expiration notices, etc.	H	Y	Yes			YES
15.006	Provides the capability to generate mass notifications via print and e-mail.	H	Y	Yes			
15.007	Provides the capability to choose pre-defined text alternatives when generating certain types of correspondence.	H	Y	Yes			
15.008	Provides the capability to define whether certain pre-defined correspondence types are editable or non-editable.	H	O	Yes			
15.009	Provides the capability to readily create or revise pre-defined text and formatting by an authorized user.	H	O	Yes			
15.010	Provides the capability to generate free-form correspondence and link it to a specific taxpayer, account and/or period.	H	Y	Yes			
15.011	Provides the capability to generate correspondence that is a combination of pre-defined text and free form text.	H	Y	Yes			
15.012	Provides the capability to route specific correspondence types for review, editing, and approval.	H	Y	Yes		RSI has interpreted this requirement to assume that certain workflow events could trigger outbound notice generation. This is current functionality (including approval) steps if desired.	Work flow would be provided for Notices as needed
15.013	Provides the capability to discard draft correspondence that is not sent.	H	O	Yes			
15.014	Provides the capability for users to readily access, view and regenerate correspondence created from within the system as it would have appeared to the taxpayer.	H	Y	Yes			
15.015	Provides the capability to generate correspondence immediately upon request or later as part of a batch process.	H	Y	Yes			
15.016	Supports the creation and retention of multiple versions of a given type of correspondence.	H	Y	Yes			
15.017	Provides the capability to print multiple page documents with formatting that varies for each page.	H	Y	Yes			
15.018	Provides the capability to sort system generated correspondence to achieve the best possible postal rate.	H	Y	Yes			
15.019	Provides the capability to print brochures and mass mailing labels.	H	Y	Yes			
15.020	Provides the capability to generate a variety of standard reports that can be updated on a regular schedule or an "as requested" basis.	H	Y	Yes			
15.021	Provides the capability to generate ad hoc queries and reports.	H	Y	Yes			
15.022	Produces daily reports to ensure that accounts receivables are in balance.	H	Y	Yes			
15.023	Produces daily reports to ensure that external data received by the tax system was recorded as transactions within the system.	H	Y	Yes			
15.024	Produces daily reports that identify out-of-balance conditions.	H	Y	Yes			
15.025	Produces reports of A/R payments by responsible collector as required.	H	Y	Yes			

15.026	Provides the capability to inquire on demographic and summary taxpayer data by tax type, city, business class (SIC or NAICS), or by account status.	H	Y	Yes	Rvenue Premier has extensive search capabilities (some require multiple fields to ensure perfomance). In addition, via Audit Selection, ad hoc searches can be performed.
15.027	Provides the capability for a user to choose whether to view the report on-line or to print the report.	H	Y	Yes	
15.028	Provides the capability for a user to choose whether to view the report on-line or to export to other formats such as, CSV, TXT, Excel or XML.	H	Y	Yes	
15.029	Provides for local printing of documents at headquarters and remote locations.	H	Y	Yes	
15.030	Provides the capability to generate print files of returns, taxpayer bills and other documents that can be sent to third-party printers.	H	Y	Yes	
15.031	Provides the capability to include scan lines and bar codes on printed documents.	H	Y	Yes	
15.032	Provides the capability to include sorting marks on printed documents.	H	Y	Yes	
15.033	Provides the capability to attach electronic documents and associate them with the specific taxpayer, tax type, license, period, etc.	H	Y	Yes	

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Productization: RSI

	No.	Requirements	DOR Priority	Vendor Requirement Self-Rating Values			Vendor Comments	CCDOR Comments
				Required (Y)	Met OTB or Configuration	Met via 3rd Party/Custom Code Required		
x	16.001	Provides a robust online taxpayer service component, including the ability for: online filing of returns, inventory reports, and economic data reports; processing of license and permit applications and renewals; acceptance of electronic payments; updates of taxpayer registration data; and controlled access by taxpayers to their account information.	H	Y	Yes		license/permit apps and renewals	Taxpayers can only go make payment now on our website. A full blown on-line processing capability is not present and the main purpose of this RFP is for us to be able to do most things online
	16.002	Provides the capability to present forms with the ability to automatically calculate fields based on data entered in other fields.	H	Y	Yes			
x	16.003	Provides the capability for the automatic population of fields from one schedule to another within an online return or report.	H	Y	Yes			
x	16.004	Provides "smart logic" capability in online forms (e.g. checking a certain box on an online form defines which schedules are necessary).	H	Y	Yes			
x	16.005	Provides the capability to display the appropriate form version based on the taxpayer's selection of period and form type.	H	Y	Yes			
	16.006	Provides the capability based on a taxpayer's profile to specify which filings must be submitted by the taxpayer in order to be compliant with current laws and regulations.	H	Y	Yes		Taxpayers will be registered based on the tax types they indicate on their tax registration form. Once registered, these tax types will be available via the Portal for filing and payment.	
x	16.007	Provides the capability to automatically assign the correct license type based on applicant answering certain questions.	H	Y	Yes			
x	16.008	Provides the capability to automatically request various types of information (e.g. demographic, business activity, bonding, etc.) based on license type.	H	Y	Yes			
x	16.009	Provides the capability for taxpayers and licensees to view previously filed returns, reports, and applications.	H	Y	Yes			
x	16.010	Provides the capability for online filers or applicants to attach electronic documents or files to their online filings.	H	Y	Yes			
	16.011	Provides the capability to prevent submission of incomplete or invalid filings.	H	Y	Yes			
	16.012	Provides online help and/or tutorials to support the various online transactions.	H	Y	Yes			
	16.013	Provides the capability for taxpayers to save a partially completed form online and return to it later.	H	Y	Yes			
x	16.014	Provides the capability for the taxpayer to file an amended return online.	H	Y	Yes			
	16.015	Provides the capability to pre-fill the online amended return form with the data from the original or last amended or adjusted return.	H	Y	Yes			
x	16.016	Provides the capability for the taxpayer to submit a license renewal application online.	H	Y	Yes			
x	16.017	Provides the capability to pre-fill the online license renewal application with data from the current license.	H	Y	Yes			
	16.018	Provides the capability to access other databases to validate certain data fields.	H	Y				RSI requires clarification on this requirement prior to indicating a self-rating or committing to provide the required functionality.
	16.019	Provides the capability for a taxpayer to elect to store credit card information for future transactions in compliance with PCI DSS standards.	H	Y	Yes			For PCI concerns, the solution will integrate with third party payment providers hired by the DOR and only store the credit card token that the third party payment provider returns to the DOR.
	16.020	Provides the capability to automatically send notification or assign work items to appropriate Department of Revenue users and supervisors when taxpayer submits certain online transactions (e.g. license application).	H	Y	Yes			
	16.021	Provides the capability to automatically send an e-mail notification to authorized non-Department of Revenue personnel when certain online transactions have been submitted.	H	Y	No		Solution only sends email/alerts to authorized solution users.	

#	Requirement				Comments
16.022	Provides secure access to electronic services from mobile platforms such as smart phones via a mobile version of the electronic services website.	H	Y	Yes	Revenue Premier utilizes Responsive UI to enable viewing of existing web pages on a mobile device.
16.023	Provides the capability to capture and confirm an e-mail address for each external user registration.	H	Y	Yes	The confirmation of an e-mail address is limited to confirmation that it is provided in the right syntax (i.e., it contains a @ and .).
16.024	Provides the capability to prevent fraudulent and computer generated enrollments.	H	Y	Yes	Portal includes CAPTCHA to prevent such fraud.
16.025	Provides the capability to automatically log-off an external user after a period of inactivity. It is highly desirable that the parameters for automatic external user log-off be configurable by the Department of Revenue.	H	Y	Yes	
16.026	Provides the capability to support registration of groups of external users for dissemination of targeted information. The system must provide registrants the opportunity to select the groups they would like to belong to in accordance with the Department of Revenue's defined criteria.	H	Y	Yes	Taxpayers can subscribe to "groups"
16.027	Provides the capability to facilitate messages to external users to provide secure log-in information previously established when requested by the external user. (e.g., if external user forgot password.)	H	Y	Yes	
16.028	Provides the capability to facilitate chat functionality for external users to have real-time information exchange with authorized internal users.	H	O		We had it as a Low priority or optional, so we can do without it. The DOR indicated that it can do without this requirement as it would require 3rd Party Chat software that RSI has not priced in our bid. This is a capability of Revenue Premier, but RSI has not included services in our bid to enable this functionality.
16.029	Provides the capability to allow the external user to change automatically populated information and make the appropriate related changes to the taxpayer profile as defined by Department of Revenue business rules.	H	Y	Yes	Clarificaiton required. Portal allows taxpayer to updated their profiles and file forms (overriding data if prefilled).
16.030	Provides the capability to send an acknowledgement receipt to external users confirming their submissions have been received by the Department of Revenue based on Department of Revenue defined business rules.	H	Y	Yes	
16.031	Provides the capability to support electronic signatures.	H	Y	Yes	
16.032	Provides the capability to accept, display, use, and match electronically filed forms.	H	Y	Yes	
16.033	Provides the capability to create the needed NACHA files, in compliance with banking regulations to process ACH debit payments.	H	Y	Yes	
16.034	Provides the capability to allow tax preparers to bulk file client payments and returns.	H	Y	Yes	Based on a conversation with the DOR, 2-3 form types will require bulk filing. Payments will not need to be filed in bulk.
16.035	Provides the capability for taxpayers to view account information based on a separate log-in profile.	H	Y	Yes	The solution allows a single taxpayer to view multiple accounts that they may be associated with (same for a preparer) and for an authorized account owner to delegate access to the account to others.
16.036	Provides online viewable reports with the capability to export documents in various formats (i.e., PDF, Excel, CSV, TEXT etc.).	H	Y	Yes	

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Productization | RSI

No.	Requirements	DOR Priority	Required (Y)	Met OTB or Configuration	Met via 3rd Party/Custom Code Required	Vendor Comments	CDOR Comments
17.001	System shall adhere to all Federal security standards as prescribed by the IRS and in the Federal "Rainbow Series" publications as it pertains to federal tax information to protect the privacy and confidentiality of that information.	H	Y	Yes		Revenue Premier meets applicable Pub1075 and NIST security requirements. Clarification required on Rainbow Series.	This may not be relevant for County purposes but this is being confirmed by our Security Officer at BOT.
17.002	System shall adhere to all required County security standards and County statutes or as prescribed by the county agency providing the information in order to protect the privacy and confidentiality of that information.	H	Y	Yes		Revenue Premier meets applicable Pub1075 and NIST security requirements. Clarification required on County requirements.	
17.003	Provides the capability to limit access to functions and features based upon Department of Revenue defined criteria such as user functions, work group, role, or skill level.	H	Y	Yes			
17.004	Provides user access to all authorized functions and features through a separate single sign-on to this system.	H	Y	Yes		Single-sign-on is not allowed per Pub 1075 of the IRS.	If that is the case we can do without. Yes, we can.
17.005	Provides the capability to "time out" a user session after a pre-defined period of inactivity.	H	Y	Yes			
17.006	Provides the capability to log and report security events (login, logout, login failures, attempted access, etc.).	H	Y	Yes			
17.007	Supports row-level record locking (allowing only one user to update a record at a time).	H	Y	Yes			
17.008	Provides the capability to log and limit all access to selected tax data (e.g. high profile taxpayers).	H	Y	Yes			
17.009	Provides the capability to grant limited access and editing capability to non-Department of Revenue users.	H	Y	Yes			
17.010	Prevents users from directly accessing the production database through means other than the integrated tax system.	H	Y	Yes			
17.011	Provides for full system availability during normal business hours (Monday through Sunday, 24/7).	H	Y	Yes		Solution will be available 24/7 with exceptions for scheduled maintenance.	
17.012	Provides for availability of web-based services on a 24/7 basis.	H	Y	Yes		Solution will be available 24/7 with exceptions for scheduled maintenance.	
17.013	Provides online response times of less than one second in at least 95% of online transactions (Describe infrastructure requirements in comments section.)	H	Y		Yes	The DOR has stated that this requirement is not needed. With that said, solution performance for online screens will be acceptable for user productivity and commiserate with the work preformed on a given screen (e.g. complex computation with multiple steps (calculate P&I, trigger notice, etc) will take longer than a simple inquiry).	Not required
17.014	Provides the capability to complete all batch processing within a reasonable timeframe (generally four hours or less.)	H	Y	Yes		Note that "batch" becomes a process and can run throughout the day.	
17.015	Provides the capability for all batch transactions to post to the system by the start of the next business day.	H	Y	Yes		Note that "batch" becomes a process and can run throughout the day	
17.016	Provides tools for technical staff to monitor and manage system operations such as error logging, critical event notification, reports, performance monitoring, database tuning, etc.	H	Y		Yes	uptime - 3rd party product	
17.017	Provides tools to allow technical staff to perform system "health checks".	H	Y		Yes	uptime - 3rd party product	
17.018	Provides the capability for the system to alert technical staff when there are system issues such as degradation of performance.	H	Y		Yes	uptime - 3rd party product	
17.019	Provides the capability to manually cancel processes that exceed reasonable processing times, appear to be locked, etc, including the ability to restart the process without compromising the integrity of the data.	H	Y	Yes			
17.020	Provides the capability to maintain separate environments for production, development, testing, training, data conversion, reporting, maintenance, etc.	H	Y	Yes		RSI has proposed a set of environments to complete the project and operate the solution. Refer to RSI Response Section 3.6.	
17.021	Provides the capability to populate these environments with all and/or selected data from the production database upon request or per a predefined schedule.	H	Y		Yes	Environment setup requires a series of steps. Copying production is not always permitted for security reasons.	
17.022	Provides the capability to replicate the production database for purposes of report generation, disaster recovery, testing and other functions.	H	Y	Yes			

ID	Requirement				Comments
17.023	Provides the capability to send a notice to all logged in users that the system or a particular environment will be taken offline for a period of time.	H	Y	Yes	Broadcast messages are usually done via email rather than the system. RSI can change the warning message text for a period of time to communicate broadcast messages to users as they log in to the system.
17.024	Provides the capability to add a new user and their function access capabilities to the security system.	H	Y	Yes	
17.025	Provides the capability to add, change, and delete the user's function access capabilities as needed.	H	Y	Yes	
17.026	Provides the capability to browse all users and their function access capabilities.	H	Y	Yes	
17.027	Provides the capability to archive a user that is being removed from the security system.	H	Y	Yes	Users are not archived but deactivated. User needs to remain in the system because their user id is on historical transactions in the system.
17.028	Provides the capability to browse all archived users and their function access capabilities.	H	Y	Yes	Users are not archived but deactivated. User needs to remain in the system because their user id is on historical transactions in the system.
17.029	Provides the capability to add additional function access capabilities as needed.	H	Y	Yes	
17.030	Provides the capability to meet standard guidelines for all passwords as defined in IRS Publication 1075.	H	Y	Yes	
17.031	Provides the capability for a user's password to be reset as part of Active Directory integration.	H	Y	Yes	
17.032	Provides the capability for a user to change their password as needed.	H	Y	Yes	
17.033	Provides the capability to require the user to change their password after a certain number of days.	H	Y	Yes	
17.034	Provides the capability to lock-out the user after a certain number of incorrect attempts have been made to sign on to the system requiring the resetting of their password.	H	Y	Yes	
17.035	Provides the capability to set-up a warning message that will be displayed to all users when they sign on to the system.	H	Y	Yes	
17.036	Provides the capability to change the warning message that will be displayed to all users when they sign on to the system.	H	Y	Yes	

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Productization - RSI

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18.001	System is commercially available, web-based, non-proprietary software with an open architecture platform.	H	Y	Yes			
18.002	System can interface with any ODBC compliant database. This should include Microsoft SQL Server, Oracle, DB2.	H	Y	Yes		RSI has assumed for this bid that Microsoft SQL Server will be the RDBMS.	
18.003	Provides the capability to integrate within existing Microsoft Active Directory infrastructure seamlessly without using a third party application.	H	Y	Yes			
18.004	Provides the capability to integrate with Microsoft 365.	H	Y			Assuming the DOR means MS Office 365. Revenue Premier does not need Word/Excel/Powerpoint to operate, so unclear degree of integration needed and for what purpose.	
18.005	Provides the capability that servers within the system can utilize virtualization technology.	M	Y	Yes			
18.006	Integration with Service Oriented Architecture (SOA) based and point to point interfaces.	H	Y	Yes			Not required for this system. There are agencies that use CRM but not certain if Revenue collects any information from these system.
18.007	System shall interface with Microsoft Dynamics CRM 4.0	L	Y			Per the DOR this interface is no longer required.	
18.008	System shall interface with iNovah cashiering system.	H	Y		Yes	Site-specific interface will be developed.	
18.009	System shall interface DACRA (Administrative Hearing system) or future enterprise citation management system.	H	Y		Yes	Site-specific interface will be developed to/from DACRA. For any "future" systems, RSI cannot commit to providing services to an interface that does not yet exist. Also, DOR has indicated that this interface is not needed.	
18.010	System shall interface with JD Edwards System.	H	Y		Yes	Site specific interface.	No need
18.011	System shall interface with future ERP system.	L	Y			For any "future" systems, RSI cannot commit to providing services to an interface that does not yet exist. Also, DOR has indicated that this interface is not needed	The JD Edwards financial system will eventually be replaced by the new ERP system. However, if there is not interface with JD Edwards as stated (8.007) then this is not needed.
18.012	System shall interface with Vital Check credit card system.	H	Y		Yes	Site-specific interface will be developed.	
18.013	System shall interface with Cook County's customized .NET investigative system, i.e., TIS.	H	Y		Yes	Site-specific interface will be developed.	
18.014	System shall interface with future Countywide Kiosk.	L	Y		Yes	Site-specific interface will be developed.	
18.015	System shall interface with Ezdec system or future similar system.	H	Y	Yes		Site-specific interface will be developed.	
18.016	System shall interface with ArcGIS system.	H	Y		Yes	Site-specific interface will be developed to further validate addresses after they have been run against the Universal Address Module (UAM) software.	Yes, because this is the county standard system. Is USPS address validation an OTB standard functionality of the RSI system? If so, it may not be necessary to include ArcGIS as an interface.
18.017	System shall interface with eFax technologies.	M	Y		Yes	Site-specific interface will be developed.	
18.018	System shall interface with GBL system.	H	Y		Yes	Site-specific interface will be developed.	
18.019	System shall interface with Chase banking partner.	H	Y		Yes	Site-specific interface will be developed.	
18.020	System shall interface with IVR technologies.	M	Y		Yes	Site-specific interface will be developed limited to two scripts.	

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Productization
RSI

No.	Requirements	DOR Priority	Required (Y)	Met OTB or Configuration	Met via 3rd Party/Custom Code Required	Vendor Comments	CCDOR Comments
19.001	Provides a separate bulk data entry component for the entering of paper returns (please indicate if the component is part of the integrated package, or separate third-party software).	H	O			RSI is providing an alternative approach to meeting the imaging requirements as the imaging requirements were optional. Please refer to RSI Response Section 3.1.2 Imaging and Data Capture for RSI's recommended imaging approach.	
19.002	Provides the capability to key data from images of documents that are not conducive to the use of recognition technology. The ability to view a full document image on one portion of the screen and see all fields associated with the document in the keying application in another portion of the screen.	H	O			Refer to vendor comment 19.001	
19.003	Provides the capability to key data from paper documents that are not conducive to the use of scanning technology.	H	O			Refer to vendor comment 19.001	
19.004	Provides data entry controls to ensure system enters data into all required fields for both batch and on-line data entry. A system administrator should be able to define which fields are required fields and apply/mandate formatting based on Department of Revenue business rules.	H	O			Refer to vendor comment 19.001	
19.005	Provides a separate image capture and data recognition component, including necessary hardware, for the processing of paper returns, schedules, reports, and other incoming forms and correspondence (please indicate if the component is part of the integrated package, or separate third-party software).	M	O			Refer to vendor comment 19.001	
19.006	Provides the capability to associate an image with the specific taxpayer, tax type and period.	H	O			Refer to vendor comment 19.001	
19.007	Provides the capability to annotate an image, but upon printing, not include the annotation.	H	O			Refer to vendor comment 19.001	
19.008	Provides the capability to capture high quality digital images of checks that contain a wide variety of colors and patterns.	H	O			Refer to vendor comment 19.001	
19.009	Provides the capability to support OCR/ICR technologies for reading and capturing data from the face of the checks and payment coupons for handwriting recognition on structured and nonstructured documents.	H	O			Refer to vendor comment 19.001	
19.010	Provides the capability to support bar code recognition at a minimum of 1D and 2D.	H	O			Refer to vendor comment 19.001	
19.011	Provides the capability to support 3-of-9 barcodes.	H	O			Refer to vendor comment 19.001	
19.012	d	H	O			Refer to vendor comment 19.001	
19.013	Provides recognition capability for structured and unstructured formats of payments and associated documents.	H	O			Refer to vendor comment 19.001	
19.014	Provides for the interface to allow for the receipt of and reporting on data and images that are captured from selected scanning equipment.	M	O			Refer to vendor comment 19.001	
19.015	Provides the capability to support mark sense recognition processing.	H	O			Refer to vendor comment 19.001	
19.016	Provides for remote capture of return and document information for centralized processing.	H	O			Refer to vendor comment 19.001	
19.017	Provides the capability to support various paper weights including a minimum of 12 pounds to a maximum of 40 pounds.	H	O			Refer to vendor comment 19.001	
19.018	Provides the capability to support processing of intermixed documents of varying sizes and paper weights within the limitations listed above.	H	O			Refer to vendor comment 19.001	
19.019	Provides the capability to support the scanning of damaged or delicate paper originals.	H	O			Refer to vendor comment 19.001	
19.020	Provides the capability to automatically recognize a form and extract data from the form for further processing.	H	O			Refer to vendor comment 19.001	
19.021	Provides the capability to process envelopes intermixed with returns and payments.	H	O			Refer to vendor comment 19.001	
19.022	Provides methods to measure and report volume processed, read rate, character substitution rate and reject rate.	H	O			Refer to vendor comment 19.001	
19.023	Provides the capability to report the number of documents failing system edit checks by error type.	H	O			Refer to vendor comment 19.001	
19.024	Provides operator statistics on a daily and year to date basis.	H	O			Refer to vendor comment 19.001	
19.025	Provides the capability to capture images of the front and back of documents in a single pass for archival purposes.	H	O			Refer to vendor comment 19.001	
19.026	Provides the capability to cleanse images by removal of random specks.	M	O			Refer to vendor comment 19.001	
19.027	Provides the capability to adjust images for form skew.	H	O			Refer to vendor comment 19.001	
19.028	Provides an audit trail for scanned documents to include, but not limited to, date, time and user for original scanning and subsequent access.	H	O			Refer to vendor comment 19.001	
19.029	Provides the capability to keep the following information regarding page structure for each page within a document type: page size (x,y), page orientation, and zone count.	H	O			Refer to vendor comment 19.001	
19.030	Provides the capability to keep the following information regarding zone structure for each zone within a page: zone location (x,y), zone size (x,y), zone orientation, spatial resolution (x,y), gray-scale resolution, and zone content.	H	O			Refer to vendor comment 19.001	

Req #	Description			Comment
19.031	Provides the capability to capture, store, retrieve, and reproduce irregular-sized documents of various page sizes including a minimum size of 2.75 inches by 4.80 inches and a maximum size of 9.0 inches by 14.0 inches.	H	O	Refer to vendor comment 19.001
19.032	Provides the capability to recognize document orientation and correct via user discretion.	H	O	Refer to vendor comment 19.001
19.033	Provides the capability to display the image while the document is being scanned.	H	O	Refer to vendor comment 19.001
19.034	Provides the capability to run multiple scanners concurrently with multiple PCs, all networked into a common imaging server.	H	O	Refer to vendor comment 19.001
19.035	Provides the capability to scan documents existing in bound or book form.	H	O	Refer to vendor comment 19.001
19.036	Provides the capability to perform batch scanning and indexing.	H	O	Refer to vendor comment 19.001
19.037	Provides the capability for an administrator/user to design and set-up index fields, codes, tables, etc.	H	O	Refer to vendor comment 19.001
19.038	Provides, at administrator option, verification of index data by double-keying all or selected field values. The second set of keystrokes is compared to the first and the software alerts the operator when discrepancies are detected.	H	O	Refer to vendor comment 19.001
19.039	Provides the capability to assist users with detecting scanning errors, by using correction codes to identify level of use of correction functions.	H	O	Refer to vendor comment 19.001
19.040	Provides the capability to increase the number of keyword fields or indexes on existing documents.	H	O	Refer to vendor comment 19.001
19.041	Provides the capability to employ OCR technology at scan time to populate index values from a full page OCR scan.	H	O	Refer to vendor comment 19.001
19.042	Provides the capability to automatically configure index files using one or more fields that always appear in the same location on the document.	H	O	Refer to vendor comment 19.001
19.043	Provides the capability to "date stamp" images with date scanned when captured.	H	O	Refer to vendor comment 19.001
19.044	Provides the capability to archive images using the system's image reader to search and read archived data.	H	O	Refer to vendor comment 19.001
19.045	Provides the capability to track physical location of documents and related retention schedule.	H	O	Refer to vendor comment 19.001
19.046	Provides the capability for color images to be scanned, stored, and printed on demand.	H	O	Refer to vendor comment 19.001
19.047	Provides the capability to adjust page settings/image size for printing documents with specific size paper requirements.	H	O	Refer to vendor comment 19.001
19.048	Provides the capability to scan in or import forms designed in other packages to create live fields.	H	O	Refer to vendor comment 19.001
19.049	Provides an image management component to handle the indexing and retrieval of all imaged documents (please indicate if the component is part of the integrated package, or separate third-party software).	H	O	Refer to vendor comment 19.001
19.050	Provides the capability to assign a unique identifier or document locator numbers (DLN) to every document created by or imaged into the system, or to accept a unique identifier or DLN provided by an external data source.	H	O	Refer to vendor comment 19.001
19.051	Provides the capability to associate a document name or description with the unique identifier or DLN, and display both number and description.	H	O	Refer to vendor comment 19.001
19.052	Provides the capability to search for documents using the unique identifier or DLN.	H	O	Refer to vendor comment 19.001
19.053	Provides the capability to search for documents by key words, word streams, etc.	H	O	Refer to vendor comment 19.001
19.054	Provides the capability for documents to be PDF OCR searchable.	H	O	Refer to vendor comment 19.001
19.055	Provides the capability to display an image retrieved from the image system side-by-side with a related integrated tax system screen.	H	O	Refer to vendor comment 19.001
19.056	Provides the capability to associate imaged documents with the related data entered into the system, and provide direct ("one-click") access to that image when viewing the system data.	H	O	Refer to vendor comment 19.001
19.057	Provides the capability to automatically zoom in to the area on an image corresponding to the specific data field being accessed in the system.	H	O	Refer to vendor comment 19.001
19.058	Provides a systematic method of reprocessing deleted items without rescanning the paper documents. The original and replacement unique identifier or DLN for the data capture and images must be linked for audit trail purposes.	H	O	Refer to vendor comment 19.001
19.059	Provides for the interface, receipt of and reporting on data from TIFF files generated daily from third party lockbox services.	H	O	Refer to vendor comment 19.001
19.060	Provides the capability to centrally control the assignment of unique identifiers or DLNs across multiple devices to avoid duplication of unique identifiers or DLNs.	H	O	Refer to vendor comment 19.002
19.061	Provides the capability to print a unique identifier or DLN on all paper documents; checks, returns, attachments and correspondence.	H	O	Refer to vendor comment 19.001
19.062	Provides a deletion tracking system for audit trail purposes.	H	O	Refer to vendor comment 19.001
19.063	Provides the capability for image files that are stored in an industry standard relational database to be identified (indexed), and retrieved by, user-definable fields per document. Provide database supported in comments section.	H	O	Refer to vendor comment 19.001
19.064	Provides the capability to annotate document pages from viewing screen.	H	O	Refer to vendor comment 19.001
19.065	Provides the capability to support and store multiple layers of annotations separately.	H	O	Refer to vendor comment 19.001
19.066	Provides the capability to print annotations on images at user's option.	H	O	Refer to vendor comment 19.001
19.067	Provides the capability to support industry standard image file formats (TIFF, JPG, PDF, etc.).	H	O	Refer to vendor comment 19.001
19.068	Provides the capability to import various file types with no restrictions as to file type.	H	O	Refer to vendor comment 19.001
19.069	Provides the capability to offer a browser-based search and retrieval client.	H	O	Refer to vendor comment 19.001
19.070	Provides the capability to view multiple pages of a file or multiple files on screen at the same time.	H	O	Refer to vendor comment 19.001
19.071	Provides the capability to store and view multiple page files (multi-TIFF).	H	O	Refer to vendor comment 19.001
19.072	Provides the capability to store and view single page files (single-TIFF).	H	O	Refer to vendor comment 19.001
19.073	Provides the capability to track revisions.	H	O	Refer to vendor comment 19.001
19.074	Provides the capability to "white out/black out" sections of images before printing. (Redacting)	H	O	Refer to vendor comment 19.001
19.075	Provides the capability to accommodate an unlimited number of indices per file/image. (If there is a limit on the number of indices, please provide the limit in the comments section.)	H	O	Refer to vendor comment 19.001
19.076	Provides the capability to import images and indexes provided by an external vendor.	H	O	Refer to vendor comment 19.001

Margin note (near 19.052–19.053): We had it as Optional, so we can do without it.

Margin note (near 19.058): We had it as Optional, so we can do without it.

#	Description			Comment	
19.077	Provides the capability for indices to have primary subject categories, sub-categories, and so on, in a hierarchical relational structure.	H	O	Refer to vendor comment 19.001	
19.078	Provides the capability to allow electronic data fields to automatically be used as indices.	H	O	Refer to vendor comment 19.001	
19.079	Provides the capability to modify the content of index or keyword with appropriate document security.	H	O	Refer to vendor comment 19.001	
19.080	Provides the capability to merge files scanned by other sources into a single database, assuming that the file formats are all industry standards.	H	O	Refer to vendor comment 19.001	
19.081	Provides the capability to link image and database (text) files.	H	O	Refer to vendor comment 19.001	
19.082	Retrieval software search specifications should contain a field name, a relational expression, and a field value to be matched.	H	O	Refer to vendor comment 19.001	
19.083	For textual and numeric fields, the retrieval software shall provide for index searches based on exact or partial matches of specified field values.	H	O	Refer to vendor comment 19.001	
19.084	For numeric fields, the retrieval software shall provide for index searches based on ranges of field values specified by the following relational expressions: greater than, less than, greater than or equal to, and less than or equal to.	H	O	Refer to vendor comment 19.001	
19.085	For textual fields, the retrieval software shall provide for index searches based on root-word matches (term truncation).	H	O	Refer to vendor comment 19.001	We had it as Optional, so we can do without it.
19.086	Provides the capability to retrieve documents by form type, tax type, address, name, identification number, or any other user-defined index value.	H	O	Refer to vendor comment 19.001	
19.087	Provides for integrated viewing capability to display all files linked to a subject category, sub-category, etc., displayed on-screen. User can point and click which file level/category/etc., and system will take user to that record set.	H	O	Refer to vendor comment 19.001	
19.088	When doing a search on a significant portion of the database, the system will display all file names that the search identified. User can point-and-click and retrieve on any file(s) displayed.	H	O	Refer to vendor comment 19.001	
19.089	Provides users the ability to return to a search results lists after viewing a result.	H	O	Refer to vendor comment 19.001	
19.090	Provides users the ability to see various lines and pages where the search word appears, before deciding to view the image.	H	O	Refer to vendor comment 19.001	
19.091	Provides the capability to manipulate image displays by scaling, magnifying, or panning.	H	O	Refer to vendor comment 19.001	
19.092	Provides the capability to search and retrieve files by defined indices, key word(s), symbols, or system-assigned alphanumeric ids.	H	O	Refer to vendor comment 19.001	
19.093	Provides the capability for files to be exported to, and retrieved by, other GUI or web applications.	H	O	Refer to vendor comment 19.001	
19.094	Provides the capability to perform "Full Text Indexing" (i.e., OCR) to search for and retrieve files.	H	O	Refer to vendor comment 19.001	
19.095	Provides the capability to retrieve documents based upon scan date range.	H	O	Refer to vendor comment 19.001	
19.096	Provides the capability to retrieve documents using multiple index words, numbers, dates, etc., simultaneously.	H	O	Refer to vendor comment 19.001	
19.097	Provides for Boolean (true/false) logic to assist searches.	H	O	Refer to vendor comment 19.001	
19.098	Provides the capability to perform searches having the option of utilizing "Soundex" feature to accommodate poor scans, alternate spellings, etc.	H	O	Refer to vendor comment 19.001	
19.099	Provides the capability to build a retrieval "hit list" of matches or near-matches.	H	O	Refer to vendor comment 19.001	
19.100	Provides the capability to perform searches that can be limited to the current directory or the current directory plus any subdirectories.	H	O	Refer to vendor comment 19.001	
19.101	Provides the capability to display text or image samples on screen when reviewing a search "hit list" to assist in determining which files to retrieve.	H	O	Refer to vendor comment 19.001	
19.102	Provides the capability to perform word searches on imaged documents.	H	O	Refer to vendor comment 19.001	
19.103	Provides the capability to view both the image and OCR results simultaneously.	H	O	Refer to vendor comment 19.001	
19.104	Provides the capability for multiple users to view a single stored image simultaneously.	H	O	Refer to vendor comment 19.001	
19.105	Provides the capability to call an external viewer that is not part of the proposed software.	H	O	Refer to vendor comment 19.001	
19.106	Provides the capability to call an external software package for editing that is not part of the proposed software.	H	O	Refer to vendor comment 19.001	We had it as Optional, so we can do without it.
19.107	Provides the capability to identify specific locations on imaged documents that contain sensitive content and restrict view of these sensitive areas to authorized users using a multi-level security structure.	H	O	Refer to vendor comment 19.001	
19.108	Provides the capability to create PDF documents from retrieved images.	H	O	Refer to vendor comment 19.001	
19.109	Provides the capability to create a combined PDF document from multiple retrieved images.	H	O	Refer to vendor comment 19.001	
19.110	Provides the capability for any attached workstation to view any scanned and indexed files, based on security profile.	H	O	Refer to vendor comment 19.001	
19.111	Provides the capability to interface with a network facsimile system and/or digital copier (i.e., incoming and outgoing images can be retrieved and distributed to users on the network, and scanned files can be sent to recipients outside of the network).	H	O	Refer to vendor comment 19.001	
19.112	Provides for a process to automatically update the document management and imaging software loaded on client workstations.	H	O	Refer to vendor comment 19.001	
19.113	Provides for the creation of an output file using a format acceptable to the Department of Revenue to transmit return data to the ITPS for all taxes. The system must be able to confirm the return data has been accepted into the ITPS. The system must be able to receive data files from the ITPS and reconcile return data posted in the ITPS to return data processed by the system.	H	O	Refer to vendor comment 19.001	
19.114	Provides for ad-hoc requests to operator statistics within various date ranges (i.e. weekly, monthly, etc.)	H	O	Refer to vendor comment 19.001	
19.115	Provides the capability to make use of and interface with an industry standard report writer.	H	O	Refer to vendor comment 19.001	
19.116	Provides the capability to select and print documents and reports to attached and/or networked printers.	H	O	Refer to vendor comment 19.001	
19.117	Provides the capability to accept queries or query results from third party system to retrieve documents from the system. (i.e. screen scrape and obtain related documents)	H	O	Refer to vendor comment 19.001	
19.118	Provides the capability to interface with the Windows Print Manager to allow importing of images from any Windows based application reporting feature. Output type (TIFF, PDF, etc) must be configurable by document class.	H	O	Refer to vendor comment 19.001	

#	Description			Response	Comment
19.119	Provides the capability to interface with Windows operating system to allow saving of documents (Save As) from any Windows based application.	H	O	Refer to vendor comment 19.001	We had it as Optional, so we can do without it.
19.120	Provides the capability to print all or a selected portion of an image.	H	O	Refer to vendor comment 19.001	
19.121	Provides the capability to print multiple copies of a retrieved image.	H	O	Refer to vendor comment 19.001	
19.122	Provides the capability to provide name and address validation using a lookup table with data provided by the Department of Revenue.	H	O	Refer to vendor comment 19.001	
19.123	Provides the capability to process and associate items included in complex document mixes such as multiple checks paying one return or one check paying multiple returns.	H	O	Refer to vendor comment 19.001	
19.124	Provides a separate remittance processing component, including necessary hardware, for the processing of checks (please indicate if the component is part of the integrated package, or separate third-party software).	H	O	Refer to vendor comment 19.001	
19.125	Provides the capability to print an endorsement on the back of the check.	H	O	Refer to vendor comment 19.001	
19.126	Provides the capability to encode the amount of the check on the back of the check.	H	O	Refer to vendor comment 19.001	
19.127	Provides the capability to create all reports needed to process and reconcile bank deposits.	H	O	Refer to vendor comment 19.001	
19.128	Provides controls to track payments processed by mail date, deposit date and tax type.	H	O	Refer to vendor comment 19.001	
19.129	Provides controls to measure turnaround time from the date received until the date funds are deposited.	H	O	Refer to vendor comment 19.001	
19.130	Provides the capability to process and associate a single payment to multiple tax types, returns and taxpayers. Images of each document must be associated to the entire transaction.	H	O	Refer to vendor comment 19.001	
19.131	Provides the capability to process and associate multiple checks paying a single tax type. Images of each document must be associated to the entire transaction.	H	O	Refer to vendor comment 19.001	
19.132	Provides the capability to process and associate multiple checks paying multiple returns for multiple taxpayers. Images of each document must be associated to the entire transaction.	H	O	Refer to vendor comment 19.001	
19.133	Provides the capability to create all accounting reports in an electronic file to interface with the County's accounting systems.	H	O	Refer to vendor comment 19.001	
19.134	Produces various accounting reports to classify tax payments. Classification will include at a minimum the following fields: document locator number, deposit date, mail date, current date, tax type, agency number, project number, payment amount, bank account number, taxpayer account number, number of checks processed, list of all batches included in the deposit and cost center.	H	O	Refer to vendor comment 19.001	
19.135	Provides for remote capture of remittance information for centralized processing.	H	O	Refer to vendor comment 19.001	
19.136	Provides for payments and their associated documents to be imaged together in "pass one " of the remittance processing function in a "face up" orientation.	H	O	Refer to vendor comment 19.001	
19.137	Provides for the classification of funds received to interface with Department of Revenue's ITPS.	H	O	Refer to vendor comment 19.001	
19.138	Provides for electronic presentment of paper payments for deposit such as Check21.	H	O	Refer to vendor comment 19.001	
19.139	Provides for creating a payment output file using a format acceptable to the Department of Revenue to transmit payment data for all taxes. The system must be able to confirm the payment data has been accepted into the County's system. The system must be able to receive data files from the County and reconcile payment data posted in the County's system to payment data processed by the system.	H	O	Refer to vendor comment 19.001	
19.140	Provides the capability to perform error checking to verify the quality of the information entered and that system balances are maintained.	H	O	Refer to vendor comment 19.001	
19.141	Provides separate production and archival databases for storage of data. The archival database must provide storage based on the Department of Revenue business rules. The archival database system must include a systematic purging mechanism for data removal based on the Department of Revenue business rules.	H	O	Refer to vendor comment 19.001	
19.142	Provides for a reporting system that is able to provide data from the production and archival databases.	H	O	Refer to vendor comment 19.001	
19.143	Provides the capability to maintain the following information regarding document structure once for each document type: page count and measurement units (inches or centimeters).	H	O	Refer to vendor comment 19.001	
19.144	Provides the capability to back-up all images and indexed documents to electronic media. Please provide back-up media supported in comments section.	H	O	Refer to vendor comment 19.001	We had it as Optional, so we can do without it.
19.145	Provides the capability to automate the compression and back-up of data at predetermined times.	H	O	Refer to vendor comment 19.001	
19.146	Provides automated data back-up functionality while the system is online without restricting user access to application functionality.	H	O	Refer to vendor comment 19.001	
19.147	Provides navigational security, with multiple layers of user-definable security to limit access at department, user, system, function, and file levels.	H	O	Refer to vendor comment 19.001	
19.148	Access to, or updating of, information stored in the system should be restricted through use of a password security system at the following levels: user, workstation, application, transaction type (add, change, inquire, delete) and field.	H	O	Refer to vendor comment 19.001	
19.149	Security methodology provides the ability to use "roles".	H	O	Refer to vendor comment 19.001	
19.150	Provides role-based security model to establish exceptions.	H	O	Refer to vendor comment 19.001	
19.151	Provides the capability to limit access to "read only" at the user level.	H	O	Refer to vendor comment 19.001	
19.152	Provides for one common area for security setup for all applications.	H	O	Refer to vendor comment 19.001	
19.153	Provides all file changes to be recorded in a detailed permanent audit trail, including user and time stamp.	H	O	Refer to vendor comment 19.001	
19.154	Provides for the system security to allow/restrict users to add/update/delete functionality by user and by function (screen/report).	H	O	Refer to vendor comment 19.001	
19.155	Provides the capability to limit access to certain files to "read only" for selected users.	H	O	Refer to vendor comment 19.001	
19.156	Provides the capability to secure documents by directory or branch with the option to set inheritance.	H	O	Refer to vendor comment 19.001	
19.157	Provides the capability to set security at both the user and group levels.	H	O	Refer to vendor comment 19.001	
19.158	Provides the capability to create system usage/audit-style reports to include which user accessed what records and when.	H	O	Refer to vendor comment 19.001	
19.159	Provides the capability to record audit data of historical progress of a process instance from start to end through all activities and transitions.	H	O	Refer to vendor comment 19.001	
19.160	Provides the capability to establish security controls on the Web and within the agency's LAN/WAN.	H	O	Refer to vendor comment 19.001	
19.161	Provides for a separate test environment, including all scanning, data capture, and reporting functionality.	H	O	Refer to vendor comment 19.001	

19.162	Provides the capability to automate and manage a business process, during which documents, information, or tasks are passed from one user to another for action, according to a set of user-defined procedural rules.	H	O	Refer to vendor comment 19.001
19.163	Provides automatic event notification of workflow.	H	O	Refer to vendor comment 19.001
19.164	Provides routing protocols for workflow.	H	O	Refer to vendor comment 19.001
19.165	Provides a workflow process support to allow users to define conditions.	H	O	Refer to vendor comment 19.001
19.166	Provides workflow process support for adhoc and rules-based workflows.	H	O	Refer to vendor comment 19.001
19.167	Provides for workflow process to use "rules-based" document automation.	H	O	Refer to vendor comment 19.001
19.168	Provides the workflow process to create an audit trail.	H	O	Refer to vendor comment 19.001
19.169	Provides for user-defined process definitions which will identify the various process activities, procedural rules, and associated controls.	H	O	Refer to vendor comment 19.001
19.170	Provides for user involvement during the process instances, (e.g. enactment of a process on-line, to re-assign work tasks, re-prioritize tasks, and monitor audit trail.	H	O	Refer to vendor comment 19.001
19.171	Provides the capability of the process to have an automated activity and a manual activity in the same instance.	H	O	Refer to vendor comment 19.001
19.172	Provides the capability of a work list to contain details of the work items allocated to a user.	H	O	Refer to vendor comment 19.001
19.173	Provides the capability to track status of the workflow process and activity instances, (e.g. initiated, running, active, inactive, suspended, complete, terminated, archived.)	H	O	Refer to vendor comment 19.001
19.174	Provides the capability of a user to control the progression of work list items.	H	O	Refer to vendor comment 19.001
19.175	Provides the capability to allow a user or process to enable work items to be passed from the workflow management system to the user, and vice versa, and sends notifications of progression status to the workflow management system.	H	O	Refer to vendor comment 19.001
19.176	Provides the capability of a user to select a work item, reassign it, track progression status, and invoke other software applications.	H	O	Refer to vendor comment 19.001
19.177	Provides the capability of the user to specify activity (work item) deadlines.	H	O	Refer to vendor comment 19.001
19.178	Provides the capability to establish escalation procedures for the system which can be invoked when deadlines are not met.	H	O	Refer to vendor comment 19.001
19.179	Provides the capability to execute activities in parallel or in sequence within a process. Alternative routes can be user-defined, based on results of conditions.	H	O	Refer to vendor comment 19.001
19.180	Provides the capability to use Boolean logic when specifying a process.	H	O	Refer to vendor comment 19.001
19.181	Provides the capability of activities to be re-iterated until a user-defined condition is met.	H	O	Refer to vendor comment 19.001
19.182	Provides the capability to allow constraints/conditions to be specified, which must be met during workflow processing. Otherwise, an exception condition or other procedure is invoked.	H	O	Refer to vendor comment 19.001
19.183	Provides the capability to define a work flow administrator with special set-up, control, auditing, and management capabilities.	H	O	Refer to vendor comment 19.001
19.184	Provides the capability to specify the routing of imaged documents from one activity to the next activity.	H	O	Refer to vendor comment 19.001
19.185	Provides the capability to configure all scanning equipment with the functionality to run all scanner jobs and form types.	H	O	Refer to vendor comment 19.001
19.186	The software language used shall be a widely-used industry standard, as opposed to being written in a proprietary language. *Describe any tools and environment needed to modify and extend the system's functionality.*	H	O	Refer to vendor comment 19.001

COOK COUNTY GOVERNMENT
Office of the Chief Procurement Officer
Integrated Tax Processing System (ITPS)

Instructions
- Respondents are required to provide input under the vendor requirements self-rating section.
- <u>Required</u>: response of "Yes" indicates required functionality to met minimum DOR scope requirements.
- <u>Met OTB or Configuration</u>: response of "Yes" states that the proposed solution can meet the functionality specified under Column B, right out of the box or through system configuration (not requiring custom code or development).
- <u>Met via 3rd Party/Custom Code</u>: response of "Yes" states the proposed solution can not meet the functionality specified under Column B, through an existing 3rd party or will require custom code or development.

Productization: RSI

No.	Requirements	DOR Priority	Required (Y)	Met OTB or Configuration	Met via 3rd Party/Custom Code Required	Vendor Comments	CCDOR Comments
20.001	System shall have the capability to identify unregistered Taxpayers and audit candidates for all Home Rule Taxes	H	Y	Yes		Revenue Premier has the capability. Services are limited to two compliance initiatives proposed. Refer to Response Section 3.2 Tax Discovery	
20.002	System shall have the capability to import/export and participate as part of a data exchange from/with various external data sources (ex. State of Illinois, Illinois Retail Merchant Association, Chicago Chamber of Commerce) as well as internal non HRT data sources (ex. Real Estate Transfer Tax data, Bulk Sales, Contract Compliance).	H	Y	Yes		Revenue Premier has the capability. Services are limited to two compliance initiatives proposed. Refer to Response Section 3.2 Tax Discovery	
20.003	Provides a variety of data analytics and predictive modeling based on individual and aggregated patterns to detect and predict non-compliance across all tax types.	H	Y	Yes		This is a capability of Revenue Premier and RSI has defined the services it will provide to meet this predictive modeling requirement in RSI Response Section 3.2 Tax Discovery.	
20.004	Provide the capability to collect third party data collection (i.e., Dunn and Bradstreet, Craigslist, Amazon) for the purposes of data mining.	H	Y	Yes		Revenue Premier provides this capability as part of the Portfolio Warehouse, but has not included services to load these sources or configure compliance programs using these sources.	
20.005	System shall include an automated modeler tool to build complex predictive models for data mining (i.e., classification, regression, attribute importance, segmentation/clustering, forecasting, and association rules).	H	Y		Yes	3rd Party BI tool. Expensive. RSI's TAF does some of this, but not all. For this reason, RSI is not including the software or services needed to meet this requirement.	
20.006	System shall include social network analysis capabilities which will include visualization capabilities and graph exploration.	H	Y		Yes	Proposal includes Revenue Premier TAF supported by SAS, as well as SSRS for analytics and BI as well as two compliance initiatives to start.	
20.007	System shall include user customizable summary report and other comprehensive reports such forecasting, segmentation/clustering, classification etc.	H	Y		Yes	Proposal includes Revenue Premier TAF supported by SAS, as well as SSRS for analytics and BI as well as two compliance initiatives to start.	
20.008	System shall include features to provide predictive models based on data exchange from Tobacco Investigation System (TIS).	H	Y	Yes		This is a capability of Revenue Premier and in particular the Tax Analytics Framework (TAF) component. RSI has prescribed the predictive modeling services that will be completed on the project in RSI Response Section 3.2 Tax Discovery.	
20.009	System shall provide the capability to automatically sanitize data prior to analysis (e.g., fuzzy match).	H	Y	Yes		Revenue Premier Portfolio Warehouse includes tools/techniques for data cleansing and matching.	
20.010	System shall have the capability to search all versions of taxpayer profile information by indexing existing information, including start and end dates as well as previous incarnations of identifying information (e.g., Use Tax Dealers and FFL's License numbers change periodically, so the ability to track these changes while maintaining positive identification is vital. Also, bulk sales and the need to track responsible parties for consistent business names and addresses).	H	Y	Yes		Extensive Taxpayer search capabilities exist to lookup taxpayer profiles including new and old ids, names, addresses.	
20.011	Provides the capability to capture tobacco manufacturers' information including the tobacco brand family names and styles (if cigarettes) being certified, number of packs sold in Cook County during the preceding sales year, and number of packs sold in Cook County in the current sales year on a monthly basis.	H	Y	Yes		Site-specific report will be developed.	

		H	O	
20.012	System shall provide Webscrapping capabilities			This would require 3rd party software. RSI has not included software or services to provide this requirement.

COOK COUNTY GOVERNMENT
Office of the Chief Procurement Officer
Integrated Tax Processing System (ITPS)

Instructions
- Respondents are required to provide input under the vendor requirements self-rating section.
- Required response of "Yes" indicates required functionality to met minimum DOR scope requirements.
- Met OTB or Configuration, response of "Yes" states that the proposed solution can meet the functionality specified under Column B, right out of the box or through system configuration (not requiring custom code or development).
- Met via 3rd Party/Custom Code, response of "Yes" states the proposed solution can not meet the functionality specified under Column B, through an existing 3rd party or will require custom code or development.

Productization: RSI

No.	Requirements	DOR Priority	Required (M)	Met OTB or Configuration	Met via 3rd Party/Custom Code Required	Vendor Comments	CCDOR Comments
				Vendor Requirement Self-Rating Values			
21.001	Provides the capability to display a dashboard for a pre-collections unit (in house collections)	H	Y	Yes		Revenue Premier provides My Inventory pages that provide data on current and closed cases.	
21.002	Provides the capability to establish a queue of accounts for a pre-collections unit and allow for their transfer either manually or automatically out of the queue based on Department of Revenue business rules	H	Y	Yes		This is a capability of Revenue Premier Case Management/Workflow.	County already has contract, and would see how to integrate as well as provide any information that would be needed at that time.
21.003	Provides the capability for an Automatic Call Distribution/IVR to call up customer information on the interface of the next available user within the pre-collection unit based on taxpayer telephony inputs	H	Y		Yes	Generally IVR and Call Center interfaces can be $80-120K depending on complexity. Need to understand what specific screenpops are needed from the IVR system and whether the DOR will contract separately with the IVR vendor to provide the integration services work on the IVR / Call Center side.	Yes, the new IVR project is currently being executed. A separate call will be needed to discuss the existing system and requirements.
21.004	Provides the capability to filter and assign delinquent/deficient accounts to user work list containing customer number, name , address, tax type, tax period, amount due (including tax, penalty, interest, and fees) and other pertinent financial and demographic information to recover delinquent tax debt owed.	H	Y	Yes			
21.005	Provides the capability to log/track collection attempts.	H	Y	Yes			
21.006	Provides the capability to add notes or an array of collection codes (left message, no answer, refusal to pay, bad phone number, agreed to pay, etc.) to the system relating to collection efforts.	H	Y	Yes			
21.007	Provides the capability to add an estimated payment date for taxpayers that agree to make/send a payment and the ability to automatically have the account flagged/reassigned to user work list if payment is not received after agreed upon payment date as well as have the ability for the system to automatically renotice the taxpayer	H	Y	Yes			
21.008	Provides the ability to designate the fluent language of a taxpayer and assign workflow to designated users	H	Y	Yes		Fluency can be an attribute. Case routing can leverage this attribute for routing.	Yes

COOK COUNTY GOVERNMENT
Office of the Chief Procurement Officer
Integrated Tax Processing System (ITPS)

Instructions
- Respondents are required to provide input in all blue cells.
- Assign a number value to each row in all tabs.
- A value of 5 states that the proposed solution can meet the functionality specified under Column B, right out of the box and will be available as soon as the software is installed.
- A value of 4 states that the proposed solution can meet the functionality specified under Column B, with some configuration work, but does not require custom code or development.
- A value of 3 states that the proposed solution will meet the functionality specified under Column B, with an expected new release of out of the box functionality.
- A value of 2 states that the proposed solution can not meet the functionality specified under Column B, but an existing 3rd party, compatible, solution can meet the requirement. If the 3rd party solution can meet the functionality but it is not compatible with any of the
- A value of 1 states that the proposed solution can meet the functionality specified under Column B, with custom code or development.
Note that the stated DOR Priorities column highlights the minimum core functionality required for the initial phase of the implementation. Respondent must state in the notes column, based on Proposer's experience in his industry, if this functionality is expected
for immediate automation in phase one or some other phase. In addition, the written response must further detail the recommendations for phase one functionality automation.

Productization RSI

No.	Requirements	Yes	No	Recommended Minimum Specifications (you may also insert an internet link for reference)	Number of Units required	Vendor Notes	CCDOR Comments
22.001	Interfaces to high speed printing systems (currently Xerox)	X		See Vendor Notes	See Vendor Notes	Hardware needed for the interface to the high-volume printers was included in the specifications provided by RSI Response Section 3.6.2 Hardware Requirements.	
22.002	Data Warehouse	X		See Vendor Notes	See Vendor Notes	Hardware needed to support the Revenue Premier Portfolio Warehouse was included in the specifications provided by RSI Response Section 3.6.2 Hardware Requirements.	
22.003	Imaging Server	X		See Vendor Notes	See Vendor Notes	RSI has included imaging hardware requirements in Section 3.1.2 Document Management.	
22.004	Barcode Scanners		X	See Vendor Notes	See Vendor Notes	RSI has included imaging hardware requirements in Section 3.1.2 Document Management.	

EXHIBIT 2

SCHEDULE OF COMPENSATION

Exhibit 2 – Payment Schedule

Cook County Department of Revenue

ITPS Tax Discovery Project

DELIVERABLE PAYMENT SCHEDULE

In accordance with the PSA and Exhibit 1 (SOW), the following table summarizes the ITPS Project Payment Deliverables with approximate month of invoice.

#	Deliverable	Release	Proposed Invoice Amount	Proposed Invoice Month
1	Completion of Data Load Package #1	Release 1b	$237,500	12
2	Compliance Program #1	Release 1b	$285,000	15
3	*Release 1 Holdback ½ due at Phase 1 Implementation*		$13,750	
	Release 1 Total		$536,250	
4	Completion of Data Load Package #2	Release 2b	$237,500	27
5	Compliance Program #2	Release 2b	$285,000	30
6	Predictive Modeling Scope and Approach Document	Release 2b	$237,500	24
7	Model Document Report	Release 2b	$237,500	30
8	Collections or Audit Scoring, Case Prioritization and Treatment Work List Report Implementation	Release 2b	$208,114	30
9	*Phase 2 Holdback*		$63,453	
10	*Remainder of Phase 1 Holdback*		$13,750	
11	*Release 2 Subtotal*		$1,282,817	
	TOTAL 3 YEAR PROJECT COSTS		**$1,819,067**	

RATE CARD FOR CHANGE ORDERS

The following rate table is to be used for any change orders during the course of the contract.

TITLE/POSITION	EXPERIENCE LEVEL	2016 HOURLY RATE ONSITE*	2016 HOURLY RATE w/TRAVEL*
Director/Executive	Over 15 years of tax revenue related experience or similar levels of experience based on the specific job assignment	$325	$355
Senior Manager	9 to 15 years of tax revenue related experience or similar levels of experience based on the specific job assignment	$225	$255
Experienced Manager	7 to 9 years of tax revenue related experience or similar levels of experience based on the specific job assignment	$195	$225
Manager	5 to 7 years of tax revenue related experience or similar levels of experience based on the specific job assignment	$165	$195
Senior Consultant	3 to 5 years of tax revenue related experience or similar levels of experience based on the specific job assignment	$135	$165
Consultant	Up to 3 years of tax revenue related experience or similar levels of experience based on the specific job assignment	$95	$125

*Annual increases to hourly rates shall not exceed 5% per year.

RSI

Cook County Government

COST WORKSHEETS

Updated cost worksheets for the project are included below to serve as reference for individual hardware, software and services components

Cook County Government

Instructions

Proposers are required to provide input in blue cells only.

All costs associated with the implementation of the proposed solution must be itemized and submitted in excel format. **PDF files will not be accepted.**

If cost is not applicable, Proposer must enter zero ($0).

Cook County will assume zero ($0) cost on blank cells.

When the pricing proposal is complete, Proposer must validate the final Total Cost columns.

Insert "not applicable" in the notes column if a given line item does not apply.

It is the responsibility of Proposers to contact the Office of the Chief Procurement Officer in a timely manner if formula/cell errors are found.

Company Name REVENUE SOLUTIONS INC.

ID	Phased Costs	Manually enter the expected cost associated with Phase 1, 2 or other	Year One Totals
1.001	Project Cost - Phase One	$ 550,000	▇▇▇
1.002	Project Cost - Phase Two	$ 1,269,067	▇▇▇
1.003	Project Cost - Maintenance Years 4 and 5	$	▇▇▇
1.004	*Total Project Cost	$ 1,819,067	n/a
1.003	HW and SW Project Cost - Total	$ -	$ -
1.004	Professional Services Cost - Total	$ 1,819,067	$ 550,000
1.005	*Total Project Cost	$ 1,819,067	$ 550,000

Cook County makes no guarantee that the services or products identified in this RFP will be required.
Proposers must return this pricing proposal in excel format.

*If these cells are not identical, there may me an issue with your calculations. Please validate your totals and communicate any potential errors to the Procurement Office.

Cook County Government

COOK COUNTY GOVERNMENT
Office of the Chief Procurement Officer
Integrated Tax Processing System Reference Evaluation Proposal

Instructions

Proposers are required to provide input in blue cells only.

All costs associated with the implementation of the proposed solution must be itemized and submitted in excel format. PDF files will not be accepted.

If cost is not applicable, Proposer must enter zero ($0).

Cook County will assume zero ($0) cost on blank cells.

When the pricing proposal is complete, Proposer must validate the final Total Cost columns.

Insert "not applicable" in the notes column if a given line item does not apply.

It is the responsibility of Proposers to contact the Office of the Chief Procurement Officer in a timely manner if formula/cell errors are found.

Use the notes column to provide additional details

Company Name: REVENUE SOLUTIONS, INC.

Support and Maintenance Costs

ID	Item	Description	Unit of Measure	Cost per Unit	Quantity	Total Cost	Year One Costs	Notes
2.001	Example: Annual Maintenance	Annual Software Maintenance	1	$ 50,000.00	1	$ 50,000.00		n/a
2.002	None							
2.003					Support and Maintenance 3 Year Total	$	$	

Software Costs

ID	Software Functionality (what does it do? include any integration/migration tools)	Module Name	Unit of Measure	Cost per Unit	Quantity	Total Cost	Year One Costs	Notes
2.016	Example: Case Management Application Server	Application Platform Server	1	$ 100,000.00	1	$ 100,000.00		n/a
2.017	None							
	Database							
2.018	3rd Party Software							
2.019	None							
	Other Third Party Products							
2.027	None							
2.028	Development Tools: Implementation Team							
2.030	None							
2.038								
2.039					Software Total	$	$	

Hardware Costs

ID	Item (servers, PCs, laptops, scanning peripherals, wiring, WIFI Access Points, etc.)	Specifications	Unit of Measure	Cost per Unit	Quantity	Total Cost	Year One Costs	Notes
2.040	Example: Two (2) Medium (Dual core) Windows Virtual Servers		1	$ 1,000	12	$ 12,000.00	$ 12,000.00	n/a
2.041	None					Hardware Total $	$	n/a

Enter hardware costs for specialty hardware that can only be purchased via the Proposer.

| 2 | HW and SW Project Cost - 3 Year Total | $ | | | | | | |
| 2.1 | HW and SW Project Cost - Year One Total | $ | | | | | | |

Cook County makes no guarantee that the services or products identified in this RFP will be required.   Proposers must return this pricing proposal in excel format.

Exhibit 2, Payment Schedule   ITPS Project6

Cook County Government

COOK COUNTY GOVERNMENT
Office of the Chief Procurement Officer
Integrated Tax Processing System Reference Evaluation Proposal

Company Name: REVENUE SOLUTIONS INC.

ID	Role	Description of activities that this resource will be performing per phase	Phase from the RFP; It must align with Section 2.2.1 of the RFP	Phase of the Project	Skill Level	M/WBE Sub-Contractor	Hourly Rate	Total Number of Hours	Total project cost	Total M/WBE Costs	Year One Cost
3.001	*EXAMPLE - Business Analyst*	*Consult with internal customer to interpret and act upon business objectives and processes. Perform research and fact-finding to determine business requirements and specifications for development of end-user applications, operational procedures and user manuals. Consult with users and technical personnel for the implementation of new and revised applications to assure that applications accurately meet business users' goals. May produce online and hard copy documentation and training materials for software applications and develop and implement a documentation strategy leveraging multiple technologies to provide more targeted information, more effectively to users. May manage software applications training program for user personnel. At higher levels, direct IT research initiatives involving from conceptual information gathering through initial architect/direction, project definition, execution, and project evaluation, up to and including operational support phase. Maintains, integrates, and communicates knowledge of industry direction and IT trends.*	*Section 2.2.1 - Requirements Validation and Future	Phase 1; State Design*	All Phases	II	Yes	$50.00	10	$ 500	$500	250
3.002	Project Director (.1)	Please see role description in RSI's Technical Proposal, Table 3-7: RSI Roles and Responsibilities	All Phases	All Phases		No	$136.65	101	$ 13,802		$ 4,141
3.003	Project Manager (1)	Please see role description in RSI's Technical Proposal, Table 3-7: RSI Roles and Responsibilities	All Phases	All Phases		No	$136.65	1008	$ 137,744		$ 41,323
3.004	Technical Lead (1)	Please see role description in RSI's Technical Proposal, Table 3-7: RSI Roles and Responsibilities	All Phases	All Phases		No	$136.65	1008	$ 137,744		$ 41,323
3.005	Infrastructure Architect (.5)	Please see role description in RSI's Technical Proposal, Table 3-7: RSI Roles and Responsibilities	All Phases	All Phases		No	$136.65	504	$ 68,872		$ 20,662
3.006	Build Manager (.5)	Please see role description in RSI's Technical Proposal, Table 3-7: RSI Roles and Responsibilities	All Phases	All Phases		No	$136.65	504	$ 68,872		$ 20,662
3.007	Product Specialist (.5)	Please see role description in RSI's Technical Proposal, Table 3-7: RSI Roles and Responsibilities	All Phases	All Phases		No	$136.65	504	$ 68,872		$ 20,662
3.008	Functional Lead (1)	Please see role description in RSI's Technical Proposal, Table 3-7: RSI Roles and Responsibilities	All Phases	All Phases		No	$136.65	1008	$ 137,744		$ 41,323
3.009	Implementation Lead (1)	Please see role description in RSI's Technical Proposal, Table 3-7: RSI Roles and Responsibilities	All Phases	All Phases		No	$136.65	504	$ 68,872		$ 20,662
3.010	Business Rules Team (2)	Please see role description in RSI's Technical Proposal, Table 3-7: RSI Roles and Responsibilities	All Phases	All Phases		No	$136.65	2200	$ 300,632		$ 90,190
3.011	Developers & Interface Analysts (2)	Please see role description in RSI's Technical Proposal, Table 3-7: RSI Roles and Responsibilities	All Phases	All Phases		No	$136.65	1970	$ 269,202		$ 80,761
3.012	Conversion Lead (1)	Please see role description in RSI's Technical Proposal, Table 3-7: RSI Roles and Responsibilities	All Phases	All Phases		No	$136.65	1008	$ 137,744		$ 41,323
3.013	Conversion Analyst (1)	Please see role description in RSI's Technical Proposal, Table 3-7: RSI Roles and Responsibilities	All Phases	All Phases		No	$136.65	1008	$ 137,744		$ 41,323
3.014	Training Lead (.25)	Please see role description in RSI's Technical Proposal, Table 3-7: RSI Roles and Responsibilities	All Phases	All Phases		No	$136.65	475	$ 64,909		$ 19,473
3.015	Testing Lead (1)	Please see role description in RSI's Technical Proposal, Table 3-7: RSI Roles and Responsibilities	All Phases	All Phases		No	$136.65	750	$ 102,488		$ 30,746
3.016	Business Analyst/Test Analyst (1)	Please see role description in RSI's Technical Proposal, Table 3-7: RSI Roles and Responsibilities	All Phases	All Phases		No	$136.65	760	$ 103,824		$ 35,427
3							Professional Services Total	13312	$ 1,819,067	M/WBE Totals: $	$ 550,000
3-A											n/a

Exhibit 2, Payment Schedule

ITPS Project7

Cook County Government

See next page for pricing comments

1. The proposed solution has been licensed and sized for the scope and requirements requested in the RFP. The proposed solution does provide a foundation to add additional DOR-administered tax types and, if selected, RSI welcomes the opportunity to discuss future options such as expanding the solution to include such additional tax types and processing capabilities.

2. DOR will provide on-site office accommodations for the on-site RSI Team members, ("10) including:
 • Work space (e.g., cubicles or offices) to accommodate each resource. Each work space should have a desk, phone, chair and office supplies.
 • A PC workstation with a recommended configuration for each RSI Team member, including monitor, keyboard, mouse, network connection, power, MS Office and Windows operating system.
 • Access to meeting rooms with white boards, tables and chairs.
 • Access to photocopiers, fax machines and paper.
 • Access to at least one projector for meetings and product demonstrations/reviews.
 • Access to LaserJet printers and paper. At least one printer should be a color LaserJet.
 • LAN access and support to the environments.
 • 24x7 access to the workspace for RSI personnel.
 • Administrative access, including remote access, to the environments for select members of the RSI Technical Team.

3. Services costs are inclusive of all personnel-related costs, to the environments for select members of the RSI Technical Team. For travel-related expenses, including travel-related expenses. It is anticipated that some work will be performed offsite, therefore DOR will provide remote access as required.

4. Both parties will discuss and mutually agree on a payment schedule during contract negotiations. In general it is anticipated that COTS software and hardware will be invoiced at time of installation, implementation services per the deliverable schedule, and annual maintenance will be invoiced at the beginning of each maintenance year, per the proposed project schedule and contract terms.

5. DOR, and other agencies (such as a data center), as required, will provide resources in a timely manner per defined and agreed to project team structure, schedule and level of effort. This is required for RSI to meet its proposed scope of work, schedule and cost.

6. DOR will provide adequate test and developers for required legacy system(s) to implement necessary interfaces and conversion. For interfaces, DOR will be responsible for development/testing of the DOR side of the interface based on mutually agreed upon interface layouts, and includes DOR procuring any 3rd party vendors to make modifications as required of the interfaces. For conversion, DOR will be responsible for data extracts as well as any data purification that RSI can't reasonable automate in their data load processes.

7. DOR will allow and provide to the RSI Design and Development Teams remote access (e.g., VPN) to all required non-production servers/environments during configuration, development and testing. Additionally, DOR will allow and provide to the RSI Technical and Production Support Team remote access to all required production servers/environments.

8. The DOR data center or other provided facility will provide sufficient floor space, power and HVAC to accommodate the new solution. Additionally, DOR is responsible for physical security of the new solution and will provide and be responsible for the network, including the connection to any required offices and appropriate bandwidth to meet performance expectations.

9. DOR can and will issue encryption SSL certificates for this project.

10. RSI's proposed cost does not include DOR staff or operational costs (e.g., postage and paper for notices, computer timesharing charges, etc.). The pricing impact for those assumptions that DOR can't provide will determined for those assumptions when known.

11. RSI will work with the DOR to develop the templates and look and feel of the web pages for the Taxpayer Portal. DOR is responsible for using the WebSphere tools to author and publish content. Content is a web page that is narrative and informational in nature and does not retrieve data from the backend Revenue Premier database.

12. The license price for software is listed as perpetual, one-time fees with annual maintenance and support. Subscription-based license fees may be available for some or all of the products, and RSI can provide optional pricing upon request.

13. 5-1-15: It is assumed that County will procure and install OnBase software separately. RSI is licensing a separate software connector from Revenue Premier to OnBase.

Exhibit 2, Payment Schedule

ITPS Project8

Cook County Government

Instructions
- Proposers are required to provide input in blue cells only.
- All costs associated with the implementation of the proposed solution must be itemized and submitted in **Excel format**.
- If cost is not applicable, Proposer must enter zero ($0).
- Cook County will assume zero ($0) cost on blank cells.
- When the pricing proposal is complete, Proposer must validate the final Total Cost columns.
- List one deliverable per line and align with section 3 of the RFP. The first line is an examples of how these lines should be populated.
- List deliverables sequentially.
- The Sum of all deliverable costs should equal the total cost for the project.
- Note that all deliverables must have a set of acceptance criteria that must be approved by Cook County as stated in the RFP.
- If one deliverable will be completed in two parts, list each part on separate lines.

Company Name: REVENUE SOLUTIONS INC.

	Deliverable	Insert RFP Project Sections	Phase (1, 2 or other)	Cost Per Deliverable	Cost for Phase
X.XXX	Example: Technical Architecture Design Document	2.2.4 - Requirements Validation and Future State Design	1	$ 1,000.00	
X.XXX	Example: Core functionality XYZ	2.2.5 - System Implementation	1	$ 10,000.00	$ 11,000.00
					Cost for Phase (Invoice)
4.001	Completion of Data Load Package #1	Release 1b	1	$ 250,000	$ 237,500
4.002	Compliance Program #1	Release 1b	1	$ 300,000	$ 285,000
4.003					
4.004	Phase 1 Holdback - half due at Phase 1 implementation				$ 13,750
4.005					
4.006					$ 550,000
4.007					**Cost for Phase (Invoice)**
4.008	Completion of Data Load Package #2	Release 2b	2	$ 250,000	$ 237,500
4.009	Compliance Program #2	Release 2b	2	$ 300,000	$ 285,000
4.010	Predictive Modeling Scope and Approach Document	Release 2b	2	$ 250,000	$ 237,500
4.011	Model Report Document	Release 2b	2	$ 250,000	$ 237,500
4.012	Collections or Audit Scoring, Case Prioritization and Treatment Work List Report implementation	Release 2b	2	$ 219,067	$ 208,114
4.013					
4.014	Phase 2 Holdback				$ 63,453
4.015	Remainder of Phase 1 Holdback				$ 13,750
4.016					
4.017					$ 1,269,067
4.018					**Cost for Other Phases**
4.019					$
4.020					$
4.021					$
4.022					**Year One Costs**
4.023					
4.024				Total Project Cost $ 1,819,067	

EXHIBIT 3

RSI SOFTWARE LICENSE AND MAINTENANCE AGREEMENT (ENTERED PURSUANT TO COOK COUNTY CONTRACT NO. 1518-14681)

Exhibit 3
Consultant Software License and Maintenance Agreement

REVENUE PREMIER® LICENSE AGREEMENT

1. Definitions

a. *Licensed Software.* The term "Licensed Software" means Licensor's proprietary Revenue Premier computer software program in object code form and as more fully described in Exhibit A hereto.

b. *Licensee.* The term "Licensee" and "County" as used herein means Cook County, Illinois.

c. *Licensor.* The terms "Licensor" and "Contractor" as used herein means Revenue Solutions, Inc., a Massachusetts corporation.

d. *Authorized User(s).* The term "Authorized User(s)" means those of Licensee's employees who are authorized by the terms of this License to use the Licensed Software.

e. *Embedded Third Party Software.* The term "Embedded Third Party Software" means software included as part of the Licensed Software that was developed by third parties other than Licensor.

f. *Integrated Third Party Software.* The term "Integrated Third Party Software" means software optionally included as part of the Licensed Software that was developed by third parties other than Licensor.

g. *Environment.* The term "Environment" means all infrastructure items, including network, load balancers and multiple, interactive user computers/workstations connected to a single installed Licensed Software application environment on one or more web, application, batch, database or other server(s), owned, leased, or operated by Licensee.

h. *Key Person.* The term "Key Person" means a person affiliated with Licensee, designated by Licensee in Section 4 of this Agreement, and authorized by Licensee (i) to receive, retain custody of, and to make one backup copy of the Licensed Software and updates of the Licensed Software; (ii) to coordinate and arrange for the provision of any technical support from Licensor needed in connection with the use of the Licensed Software; and (iii) to receive notice from Licensor concerning bulletins, updates, and supplements to the Licensed Software.

2. Licenses

(a) Upon and subject to the terms hereof, Contractor grants the County a perpetual, irrevocable, nonexclusive, worldwide, and royalty-free license to use the Licensed Software and Contractor's user guides, subject to the following limitations:

    (i)   County may make copies of the Licensed Software for backup and testing purposes, so long as such copies are not used in production and the testing is for internal use only.

    (ii)   County may disclose, provide or otherwise make available the licensed software to the County's employees, agents, contractors, as necessary, Contractor's employees, and any third-party service provider of the County's choosing for the sole purposes of backup, operations continuity, and/or disaster recovery, without prior written consent of the Contractor.

        (a) Should the County need to disclose, provide or otherwise make available the licensed software to any third party, the County agrees to require any such third party to comply with the Confidentiality provisions of section 7 herein.

    (iii)   County may require Contractor to modify certain aspects of the Licensed Software and documentation as may be needed by the County, under commercially reasonable terms, for the purposes provided herein.

    (iv)   County may transfer the Contractor's Software to a replacement hardware system, provided that the County gives Contractor advance written notice of any such transfer and pays Contractor for any required or requested technical assistance associated with such transfer.

    (v)   County may use and copy the User Guides for internal, non-commercial reference purposes only.

    (vi)   Except as provided herein, County may not:

        (a) Sell, assign, lease, license, or in any manner encumber, pledge, convey or transfer the licensed software or any interest therein to a third party;

        (b) Reverse engineer, decompile, or disassemble the Licensed Software;

        (c) Rent, lease, lend, or provide commercial hosting services with the Licensed Software; or

        (d) Reproduce, distribute, publish or otherwise disclose the Licensed Software or User Guides to a third party.

    (vii)   The license terms in this Agreement apply to updates and enhancements Contractor may provide to the County or make available to the County through the Maintenance and Support Agreement.

(b) The County grants Contractor permission to use and modify the County's existing software and documentation as necessary for the Contractor to perform the requirements of this project and for no other purpose, provided that any software and documentation provided to Contractor or its agents, employees or subcontractors by the County must be treated by them as Confidential Information.

(c) *Production License.* In accordance with the terms of this Agreement, Licensor grants to Licensee, and Licensee accepts from Licensor, a perpetual, nonexclusive, nonsublicenseable, and nontransferable license to: (i) load and run one copy of the Licensed Software listed in Attachments A and C in machine readable form on one or more servers (as specified on Attachment A) attached to the Environment for use only by Authorized Users; and (ii) permit no more than the number of Authorized Users specified in Attachment C to use and access the Licensed Software listed in Attachment A and C, subject to the terms and conditions of this Agreement. The production license granted herein does not extend the use of the Licensed Software in non-production environments for uses such as development, testing or training.

(d) *Non-Production Licenses.* Licensor has offered Licensee additional licensed use rights for the Licensed Software as set forth on Attachment C hereto. For each additional use set forth below, Licensor hereby grants Licensee additional license rights (as may be applicable) to:

(i)   Development Use: load and run one copy of the Licensed Software on an additional environment to be used for development purposes only;

(ii)   Training Use: load and run one copy of the Licensed Software on an additional environment to be used for training purposes only;

(iii)   Testing/Staging Use: load and run one copy of the Licensed Software on an additional environment to be used for testing purposes only; and,

(iv)   Disaster Recovery Use: load and have on standby one copy of the Licensed Software on an additional environment to be used for purposes of recovery from system outages on the production environment.

3. Ownership of Licensed Software

Licensor warrants and represents that, except for the Embedded Third Party Software and Integrated Third Party Software, it is the sole owner and copyright holder of the Licensed Software. Licensor warrants and represents that it has the right and authority to grant the rights and licenses to the Licensed Software as set forth herein.

4. Installation, Maintenance and Technical Support

Licensee will install the Licensed Software on the Environment. Technical support for and maintenance of the Licensed Software and updates to the Licensed Software are subject to the terms and conditions of the Licensed Software Maintenance and Support Agreement, a copy of which is attached to the Software License Agreement as Attachment B. All requests for technical support must be made by approved Cook County personnel. Licensee agrees to notify Licensor of the identity and contact information of approved Cook County personnel. Licensee agrees to notify Licensor upon a

change in the identity approved Cook County personnel.

5. User Manuals and Documentation

a. *Access to Manuals.* Licensor acknowledges that the user manual is an integral part of the software that makes up the Licensed Software and is necessary for the proper use and application of the Licensed Software and updates to the Licensed Software. Licensor agrees to provide current user manuals and documentation with the Licensed Software for use by Authorized Users at computers/workstations at which the Licensed Software can be accessed on the Environment. User manuals and documentation will be provided either by electronic transmission or on a machine readable medium.

6. Title to and Rights in Licensed Software

a. *Proprietary Rights.* The Licensed Software and updates of the Licensed Software are proprietary in part to Licensor and in part to the owners of the Embedded Third Party Software and Integrated Third Party Software, and title to the Licensed Software, and updates thereto, is and shall remain with them. All applicable common law and statutory rights in and to the Licensed Software and updates of the Licensed Software, including, but not limited to, rights in confidential and trade secret material, source code, object code, trademarks, service marks, patents, and copyrights, shall be and will remain the property of Licensor or the owners of the Embedded Third Party Software or Integrated Third Party Software. Licensee shall have no right, title, or interest in such proprietary rights.

b. *Restrictions.* Licensee, and any person acting on Licensee's behalf, (i) are prohibited from disclosing to or allowing access to, the database design incorporated in the Licensed Software, by third parties; and (ii) shall advise all Authorized Users of all prohibitions and restrictions set forth in this Agreement. However, anything to the contrary herein notwithstanding, Licensee shall be permitted, at its expense, to add additional rules to the Licensed Software. Licensee may not permit outside contractors or agents to use or access the Licensed Software without Licensor's prior written authorization.

Use of or access to the Licensed Software is limited to Licensee for Licensee's own internal purposes. Without limiting the generality of the foregoing, Licensee shall not: (i) use, access or grant access to the Licensed Software on behalf of third parties, including without limitation any other governmental agency, department or political subdivision; or (ii) use, access or grant access to the Embedded Third Party Software or Integrated Third Party Software for any purpose other than use of the Licensed Software.

c. *Archival Copy.* The Key Person may make one (1) archival copy of the Licensed Software solely for use as a backup on the Environment for which the Licensed Software is licensed.

7. Confidentiality

Licensor represents and Licensee hereby acknowledges that the object code constituting the Licensed Software and updates of the Licensed Software which is embodied on storage media constitute confidential and trade secret material (collectively hereinafter "Confidential Information") which is not readily susceptible to reverse compilation or reverse assembly. Licensee and the Key Person shall not attempt to decompile or disassemble the object code of the Licensed Software or updates thereof.

Licensee further agrees that it will use its best efforts to prevent decompilation and disassembly of the object code of the Licensed Software and updates thereof by any person or entity by securing and protecting each copy of the Licensed Software or update in a manner consistent with the maintenance of Licensee's rights and by taking appropriate action by instruction or agreement. The user manual, documentation, and all updates thereto shall also constitute Confidential Information. Licensee shall not permit third parties to access Confidential Information, except where required by applicable law, after notice to Licensor.

8. Limited Warranty and Disclaimer of Liability

Licensor warrants to Licensee that for a period of one (1) year immediately following Licensee's final acceptance of Licensor's software for Release 1 and three (3) consecutive months immediately following Licensee's final acceptance of Licensor's software for Release 2, when used with a recommended hardware configuration, the Licensed Software will perform substantially in accordance with the specifications and documentation supplied with the Licensed Software.

9. Relationship of the Parties

For purposes of this Agreement, Licensee is not an agent of Licensor, and Licensee has no express or implied authority to act on behalf of or make any representations whatsoever on behalf of Licensor. Licensor has no right to control any activities of Licensee outside the terms of this Agreement.

10. Delivery

Upon execution of the PSA and receipt of the License Fee set forth therein, Licensor shall deliver to Licensee's Key Person one copy of the Licensed Software and the current user manual and documentation, by electronic transmission on a machine readable medium of Licensor's choosing.

11. License Fee and Payment

Upon execution of the PSA, Licensee shall pay to Licensor a License Fee calculated in accordance with the Fee Schedule set forth in Attachment C thereto.

12. Supplements

From time to time, Licensor may make available computer programs, new modules and customizations which are compatible with the Licensed Software and which supplement the Licensed Software ("Supplements"). Supplements (new modules or products supporting functionality outside of licensed software and scope of statement of work) ARE NOT LICENSED UNDER THE TERMS OF THIS AGREEMENT.

13. General

a. *Severability.* If any provision of this Agreement is invalid under any applicable statute or rule of law, it is to that extent to be deemed omitted. The remainder of the Agreement shall be valid and enforceable to the maximum extent possible.

b. *Assignment.* Licensee may not assign or sublicense, without the prior written consent of Licensor, its rights, duties, or obligations under this Agreement to any person or entity, in whole or in part.

c. *Waiver.* The waiver or failure of Licensor to exercise in any respect any right provided for in this Agreement shall not be deemed a waiver of any further right under this Agreement.

d. *Headings.* The headings appearing at the beginning of the several sections contained in this Agreement have been inserted for identification and reference purposes only and shall not be used in the construction and interpretation of this Agreement.

e. *Survival.* Sections 6, 7, 8, and 13 shall survive the expiration or any termination of this Agreement.

LICENSED SOFTWARE
Revenue Premier Specifications

<u>Revenue Premier Enterprise</u>. Includes all modules of the Revenue Premier product platform in a fully integrated suite.

<u>Revenue Premier Integrated Tax Processor</u>. Includes software for Channel Management, Entity Identification, Return/Payment Processing, Taxpayer Accounting and Revenue Accounting. The Taxpayer Portal is an optionally licensed component of the Integrated Tax Processor module. Includes the Revenue Premier Shared Services.

<u>Revenue Premier Collections Manager</u>. Includes software for Collections Case Management, Enforced Collections and Risk Scoring. Includes the Revenue Premier Shared Services.

<u>Revenue Premier Portfolio Warehouse</u>. Includes software for Data Transformation, Portfolio Management and Lead Selection/Scoring. Includes the Revenue Premier Shared Services.

<u>Revenue Premier Audit Manager</u>. Includes software for Audit Case Management, Workpapers Toolkit and Statistical Sampler. The Workpapers Toolkit and Statistical Sampler are optionally licensed components of the Audit Manager module. Includes the Revenue Premier Shared Services.

<u>Revenue Premier Shared Services</u>. Includes software for a set of shared services which provide flexibility for reusing services, integrating other products and supporting technical infrastructure options. The shared services include:

- o Decision Analytics/Business Intelligence Framework - Includes software to support a framework of rule-based risk analysis and scoring for tax discovery, audit and collection case lead selection.

- o Case Management/Workflow - Includes software for case management/workflow support of selected leads, including case creation, assignment, workflow, closure, and history.

- o Correspondence Management – Includes software to support the definition, generation, distribution (e.g., printing), and history of notices and correspondence.

- o System Administration and Configuration - Includes software to perform administrative functions on the Revenue Premier system. Administrative functions include configuration of codes tables, parameters, users, security settings, and business rules used by the online and office processes.

Also includes the following third-party software components:
- ➢ Pitney Bowes Business Insight, Universal Addressing Module (UAM)
- ➢ Pitney Bowes Business Insight, EngageOne Interactive
- ➢ Informatica, Identity Resolution
- ➢ Fair Isaac, Blaze Advisor with 3 Pack of Development Seats and End User Deployment License
- ➢ IBM WebSphere Portal Server (For the Taxpayer Portal); Production and Non-Production (licensed by cores)
- ➢ IBM Websphere Portal Express (For the Taxpayer Portal); 20 user license

- IBM Web Content Manager (For the Taxpayer Portal); Production and Non-Production (licensed by cores)
- IBM Rational Application Developer for WebSphere – 2 seats (For the Taxpayer Portal - Licensed by seats per year)

PERMITTED SERVERS

In the event that the Environment operates as a distributed network system, and comprises multiple servers, Licensee may load and run modules contained in a single copy of the Licensed Software on one or more web, application, batch, database or other server(s) operating as part of the Environment.

LICENSED SOFTWARE MAINTENANCE AND SUPPORT AGREEMENT

1. Definitions

i. "Defect" – an error or flaw in the Licensed Software that causes it to operate in a manner inconsistent with its specifications and documentation.

ii. "Enhancement" – an enhancement adds functionality to the Licensed Software.

2. Scope of Attachment

During the term of the PSA, including any extensions and renewal periods, Licensor agrees to provide Licensee standard maintenance and support services, as set forth in Section 3, for the Licensed Software. All terms used herein shall have the meaning set forth in the Contract.

3. Term

This Addendum shall take effect upon the Effective Date of the Contract and shall remain in effect for the duration of the Contract, including any extensions or renewal periods.

4. Standard Maintenance Services

a. *Scope of Services*. During the term of this Addendum, Licensor will provide Licensee the following Standard Maintenance Services for the Licensed Software:

   i. Corrections of substantial defects in the Licensed Software so that the Licensed Software will operate as described in the user manuals provided to Licensee with the Licensed Software.

   ii. Periodic updates and enhancements of the Licensed Software that may incorporate (A) Enhancements, and (B) corrections of Defects.

   iii. Periodic updates to the product documentation.

   iv. Live toll free telephone support (available at 888-826-1324) between the hours of 7:00 a.m. and 5:00 p.m., Central Standard Time, Monday through Friday, excluding federal holidays, and e-mail support (available at RPSupport@RevenuePremier.com) to assist Licensee in using the Licensed Software.

   v. Phone and email support requests may be submitted at any time, and will be processed by Licensor during the stated hours noted above. If submitted during the stated hours, acknowledgment of support requests will occur within one hour of submission. If submitted outside of the stated hours, acknowledgment of support requests will occur by 8:00 a.m. Central Standard Time, the next business day. Acknowledgment of support requests involves either a phone or email response to the requestor by the Licensor.

vi.   In consultation with the Licensee, Licensor will assign a priority to new issues according to the definitions found in Section 4.1.10 of the Statement of Work.

    b. *Services Not Included.* Standard Maintenance Services covered by this Addendum do not include:

i.   Components that are not covered by Licensee's License agreement or that are offered, at Licensor's sole discretion, to Licensee upon payment of an additional license fee.

ii.   Custom programming services not covered by the Contract.

iii.   Hardware and related supplies.

iv.   Support for customer specific modifications, compliance programs, business rules or extensions.

v.   Release upgrades implementation services where step by step procedures are provided.

5. Supplements

From time to time, Licensor at its sole discretion may make available to Licensee Supplements (new modules or products supporting functionality outside of licensed software and scope of statement of work) to the Licensed Software that Licensee may license from Licensor upon payment of the license fee established by Licensor.

6. Maintenance Fee

The maintenance fees during the Initial Term are as set forth on Schedule 1 to Exhibit B to the Revenue Premier License Agreement. For each successive Term, the maintenance fees shall be eighteen percent (18) of the then current list price calculated for each component, quantity thereof, and licensed use of the Licensed Software. Licensor shall provide Licensee notice of any increases in the maintenance fees at least ninety (90) days prior to the start of each successive Term. All maintenance fees shall be due and payable in full as set forth in Article 5 of the Professional Services Agreement. Licensor shall provide Licensee with a 2% cap on annual maintenance increases for each successive Term that maintenance is kept in force.

7. Obligations of Licensee

    a. *Licensee Contact.* Licensee shall notify Licensor of Licensee's designated Key Person. Licensee's communications with Licensor will be through the Key Person.

    b. *Installation.* Licensee agrees to install all corrections of substantial defects, minor bug fixes and updates, including any enhancements, for the Licensed Software in accordance with the instructions and in order of receipt from Licensor. Licensee understands and acknowledges that Licensor is not obligated to provide maintenance or support for the Licensed Software if Licensee is operating a version of the Licensed Software that is not updated to within two releases of the most currently available release of the Licensed Software.

c. *Facility and Personnel Access.* Licensee agrees to grant Licensor access to Licensee's facilities and personnel concerned with the operation of the Licensed Software to enable Licensor to provide services, provided such personnel complies with security and confidentiality requirements.

d. *Error Documentation.* Upon detection of any error in the Licensed Software, Licensee, as requested by Licensor, agrees to provide Licensor a listing of output and any other data, including databases and backup systems, that Licensor reasonably may request in order to reproduce operating conditions similar to those present when the error occurred.

ATTACHMENT C Exhibit 3
MAINTENANCE FEE SCHEDULE

1. PRODUCTION COPY

Components	Quantity	Unit Price	Extended Price
Revenue Premier Enterprise	1	See License & Maintenance Fee Schedule*	See License & Maintenance Fee Schedule
Revenue Premier Integrated Tax Processor	Included with Revenue Premier Enterprise	$_____	$_____
Revenue Premier Integrated Tax Processor-Taxpayer Portal (Optional)	1	See License & Maintenance Fee Schedule	See License & Maintenance Fee Schedule
Revenue Premier Collections Manager	Included with Revenue Premier Enterprise	$_____	$_____
Revenue Premier Portfolio Warehouse	Included with Revenue Premier Enterprise	$_____	$_____
Revenue Premier Audit Manager	Included with Revenue Premier Enterprise	$_____	$_____
Revenue Premier Audit Manager - Workpapers Toolkit	Included with Revenue Premier Enterprise	$_____	$_____
Revenue Premier Audit Manager - Statistical Sampler (Optional)	Included with Revenue Premier Enterprise	$_____	$_____
		Total:	$_____

2. NON-PRODUCTION COPIES

Components	Quantity	Unit Price	Extended Price
Revenue Premier Enterprise	4	See License & Maintenance Fee Schedule	See License & Maintenance Fee Schedule
Revenue Premier Integrated Tax Processor	Included with Revenue Premier	$_____	$_____

	Enterprise		
Revenue Premier Integrated Tax Processor Taxpayer Portal (Optional)	4	See License & Maintenance Fee Schedule	See License & Maintenance Fee Schedule
Revenue Premier Collections Manager	Included with Revenue Premier Enterprise	$_____	$_____
Revenue Premier Portfolio Warehouse	Included with Revenue Premier Enterprise	$_____	$_____
Revenue Premier Audit Manager	Included with Revenue Premier Enterprise	$_____	$_____
Revenue Premier Audit Manager - Workpapers Toolkit	Included with Revenue Premier Enterprise	See License & Maintenance Fee Schedule	See License & Maintenance Fee Schedule
Revenue Premier Audit Manager - Statistical Sampler	Included with Revenue Premier Enterprise	$_____	$_____
		Total:	See License & Maintenance Fee Schedule

* The license and Maintenance Fee Schedule is contained in Exhibit 2, Schedule of Compensation

ATTACHMENT D TO EXHIBIT 3
LICENSE FEE SCHEDULE

1. PRODUCTION COPY

Components	Quantity	Unit Price	Extended Price
Revenue Premier Enterprise	1	See License & Maintenance Fee Schedule	See License & Maintenance Fee Schedule
Revenue Premier Integrated Tax Processor	Included with Revenue Premier Enterprise	$_____	$_____
Revenue Premier Integrated Tax Processor-Taxpayer Portal (Optional)	1	See License & Maintenance Fee Schedule	See License & Maintenance Fee Schedule
Revenue Premier Collections Manager	Included with Revenue Premier Enterprise	$_____	$_____
Revenue Premier Portfolio Warehouse	Included with Revenue Premier Enterprise	$_____	$_____
Revenue Premier Audit Manager	Included with Revenue Premier Enterprise	$_____	$_____
Revenue Premier Audit Manager - Workpapers Toolkit (Optional)	Included with Revenue Premier Enterprise	See License & Maintenance Fee Schedule	See License & Maintenance Fee Schedule
Revenue Premier Audit Manager - Statistical Sampler (Optional)	Included with Revenue Premier Enterprise	$_____	$_____
		Total:	See License & Maintenance Fee Schedule

2. NON-PRODUCTION COPIES

Components	Quantity	Unit Price	Extended Price
Revenue Premier Enterprise	4	Covered Under the ITS Contract	Covered Under the ITS Contract
Revenue Premier Integrated Tax Processor	Included with	$_____	$_____

	Revenue Premier Enterprise		
Revenue Premier Integrated Tax Processor - Taxpayer Portal (Optional)	4	See License & Maintenance Fee Schedule	See License & Maintenance Fee Schedule
Revenue Premier Collections Manager	Included with Revenue Premier Enterprise	$_____	$_____
Revenue Premier Portfolio Warehouse	Included with Revenue Premier Enterprise	$_____	$_____
Revenue Premier Audit Manager	Included with Revenue Premier Enterprise	$_____	$_____
Revenue Premier Audit Manager - Workpapers Toolkit (Optional)	Included with Revenue Premier Enterprise	See License & Maintenance Fee Schedule	See License & Maintenance Fee Schedule
Revenue Premier Audit Manager - Statistical Sampler (Optional)	Included with Revenue Premier Enterprise	$_____	$_____
		Total:	**See License & Maintenance Fee Schedule**

EXHIBIT 4

COOK COUNTY INFORMATION TECHNOLOGY SPECIAL TERMS AND
CONDITIONS (ITSCS)

<u>Exhibit 4</u>
<u>Cook County Information Technology Special Conditions (ITSCs)</u>

1. DEFINITIONS FOR SPECIAL CONDITIONS

1.1. **"Assets"** means Equipment, Software, Intellectual Property, IP Materials and other assets used in providing the Services. Assets are considered in use as of the date of deployment.

1.2. **"Business Continuity Plan"** means the planned process, and related activities, required to maintain continuity of business operations between the period of time following declaration of a Disaster until such time an IT environment is returned to an acceptable condition of normal business operation.

1.3. **"Cardholder Data"** means data that meets the definition of "Cardholder Data" in the most recent versions of the Payment Card Industry's Data Security Standard.

1.4. **"Change"** means, in an operational context, an addition, modification or deletion to any Equipment, Software, IT environment, IT systems, network, device, infrastructure, circuit, documentation or other items related to Services. Changes may arise reactively in response to Incidents/Problems or externally imposed requirements (e.g., legislative changes), or proactively from attempts to (a) seek greater efficiency or effectiveness in the provision or delivery of Services; (b) reflect business initiatives; or (c) implement programs, projects or Service improvement initiatives.

1.5. **"Change Management"** means, in an operational context, the Using Agency approved processes and procedures necessary to manage Changes with the goal of enabling Using Agency-approved Changes with minimum disruption.

1.6. **"Change Order"** means a document that authorizes a Change to the Services or Deliverables under the Agreement, whether in time frames, costs, or scope.

1.7. **"Change Request"** means one Party's request to the other Party for a Change Order.

1.8. **"Contractor"** has the same meaning as either: (a) both "Contractor" and "Consultant" as such terms are defined, and may be interchangeably used in the County's Professional Services Agreement, if such document forms the basis of this Agreement or (b) "Contractor" as defined in the County's Instruction to Bidders and General Conditions, if such document forms the basis of this Agreement.

1.9. **"Contractor Confidential Information"** means all Contractor IP Materials, all Contractor-Provided Software, and all non-public proprietary information of Contractor that is marked confidential, restricted, proprietary, or with a similar designation; provided that Contractor Confidential Information excludes: (a) Using Agency Confidential Information, (b) Using Agency Data; (c) information that may be subject to disclosure under Illinois Freedom of Information Act, 5 ILCS 140/1 et seq. or under the Cook County Code of Ordinances; and (d) the terms of this Agreement, regardless of whether marked with a confidential designation or not.

1.10. **"Contractor Facilities"** means locations owned, leased or otherwise utilized by Contractor and its Subcontractors from which it or they may provide Services.

1.11.   *"Contractor Intellectual Property"* means all Intellectual Property owned or licensed by Contractor.

1.12.   *"Contractor IP Materials"* means all IP Materials owned or licensed by Contractor.

1.13.   *"Contractor Personnel"* means any individuals that are employees, representatives, Subcontractors or agents of Contractor, or of a direct or indirect Subcontractor of Contractor.

1.14.   *"Contractor-Provided Equipment"* means Equipment provided by or on behalf of Contractor.

1.15.   *"Contractor-Provided Software"* means Software provided by or on behalf of Contractor.

1.16.   *"Criminal Justice Information"* means data that meets the definition of "Criminal Justice Information" in the most recent version of FBI's CJIS Security Policy and also data that meets the definition of "Criminal History Record Information" at 28 C.F.R. 20.

1.17.   *"Critical Milestone"* means those milestones critical to the completion of the Services as identified in this Agreement, in any work plan, project plan, statement of work, or other document approved in advance by the Using Agency.

1.18.   *"Data Protection Laws"* means laws, regulations, regulatory requirements, industry self-regulatory standards, and codes of practice in connection with the processing of Personal Information, including those provisions of the Health Insurance Portability and Accountability Act of 1996 (42 U.S.C. §§ 1320(d) et seq.) as amended by the Health Information Technology for Economic and Clinical Health Act of 2009 (42 U.S.C. §§ 17921 et seq.) and the Payment Card Industry standards.

1.19.   *"Data Security Breach"* means (a) the loss or misuse (by any means) of any Using Agency Data or other Using Agency Confidential Information; (b) the unauthorized or unlawful access, use, or disclosure of any Using Agency Data or other Using Agency Confidential Information; or (c) any other act or omission that compromises the security, confidentiality, integrity or availability of any Using Agency Data or other Using Agency Confidential Information.

1.20.   *"Deliverable"* has the same meaning as either: (a) "Deliverable" as defined in the County's Professional Services Agreement, if such document forms the basis of this Agreement; or (b) "Deliverable" as defined in the County's Instruction to Bidders and General Conditions, if such document forms the basis of this Agreement. In either case, Deliverables includes without limitation Contractor-Provided Equipment, Contractor-Provided Software, Developed Intellectual Property.

1.21.   *"Developed Intellectual Property"* means Intellectual Property as well as any IP Materials conceived, developed, authored or reduced to practice in the course of or in connection with the provision of the Services for the exclusive use of the Using Agency, including, but not limited to: (a) modifications to, or enhancements (derivative works) of, the Using Agency Intellectual Property or the Using Agency IP Materials; (b) Developed Software; (c) documentation, training materials, or other IP Materials that do not modify or enhance then existing Using Agency IP Materials; and (d) modifications to or enhancements (derivative works) of, Third Party Intellectual Property or related IP Materials to the extent not owned by the licensor of the Third Party Intellectual Property under the terms of the applicable license.

1.22.   *"Developed Software"* means any custom Software conceived, developed, authored or

reduced to practice in the course of or in connection with the provision of the Services for the exclusive use of the Using Agency (including any modifications, enhancements, patches, upgrades or similar developments to such Software).

1.23.   *"Disaster"* means a sudden, unplanned, calamitous event causing substantial damage or loss as defined or determined by a risk assessment and business impact analysis, and which creates an inability or substantial impairment on the organization's part to provide critical business functions for a material period of time. This also includes any period when the Using Agency management decides to divert resources from normal production responses and exercises its Disaster Recovery Plan.

1.24.   *"Disaster Recovery Plan"* means the planned process, and related activities, required to return an IT environment to an acceptable condition of normal business operation following declaration of a Disaster.

1.25.   *"Equipment"* means the computer, telecommunications, network, storage, and related hardware and peripherals owned or leased by the Using Agency or its Third Party Contractors, or by Contractor or its Subcontractors, and used or supported by Contractor or its Subcontractors, or by the Using Agency or its agents, in connection with the Services.

1.26.   *"Exit Assistance Period"* means the time between receipt of notice of termination from the Party giving such notice and the effective date of termination or expiration of the Agreement or the applicable terminated Services.

1.27.   *"Illicit Code"* means any hidden files, automatically replicating, transmitting or activating computer program, virus, worms, spyware, malware, or other harmful or malicious computer program or any Equipment-limiting, Software-limiting or Services-limiting function (including, but not limited to, any key, node lock, time-out or similar function), whether implemented by electronic or other means.

1.28.   *"Incident"* means any event that is not part of the standard operation of a service in the Using Agency IT environment (including an event in respect of the Services or any Equipment or Software) and that causes, or may cause, an interruption to, or a reduction in the quality of, that service. The Using Agency will determine the severity level of each reported Incident in its reasonable discretion.

1.29.   *"Intellectual Property"* has the same meaning as defined in the Professional Services Agreement.

1.30.   *"IP Materials"* means works of authorship, software, documentation, processes, designs, drawings, specifications, formulae, databases, algorithms, models, methods, processes and techniques, technical data, inventions, discoveries, know how, the general format, organization, or structure of any report, document or database, and other technical proprietary information.

1.31.   *"Laws"* means all United States federal, state and local laws or foreign laws, constitutions, statutes, codes, rules, regulations, ordinances, executive orders, decrees, edicts of or by any governmental authority having the force of law or any other legal requirement (including common law), including Data Protection Laws and the Cook County Code of Ordinances.

1.32.   *"Licensed software"* means Contractor's proprietary Revenue Premier computer software program in object code form and as more fully described in Exhibit A to the Software License Agreement (Exhibit 3 to the PSA).

1.33.   **"Open Source Materials"** means any Software that: (a) contains, or is derived in any manner (in whole or in part) from, any Software that is distributed as free Software, open source Software, shareware (e.g., Linux), or similar licensing or distribution models; and (b) is subject to any agreement with terms requiring that such Software be (i) disclosed or distributed in source code or object code form, (ii) licensed for the purpose of making derivative works, and/or (iii) redistributable. Open Source Materials includes without limitation "open source" code (as defined by the Open Source Initiative) and "free" code (as defined by the Free Software Foundation).

1.34.   **"Party"** means either County, on behalf of County and its Using Agencies, or Contractor.

1.35.   **"Parties"** means both County, on behalf of County and its Using Agencies, and Contractor.

1.36.   **"Personal Information"** means personal data or information that relates to a specific, identifiable, individual person, including Using Agency personnel and individuals about whom the Using Agency, Contractor, Contractor's Subcontractors or affiliates has or collects financial and other information. For the avoidance of doubt, Personal Information includes the following: (a) any government-issued identification numbers (e.g., Social Security, driver's license, passport); (b) any financial account information, including account numbers, credit card numbers, debit card numbers, and other Cardholder Data; (c) Criminal Justice Information; (d) Protected Health Information; (e) user name or email address, in combination with a password or security question and answer that would permit access to an account; and (f) any other personal data defined as personally identifiable information under the breach notification laws of the fifty states.

1.37.   **"Problem"** means the underlying cause of one or more Incidents, including where such cause is unknown or where it is known and a temporary work-around or permanent alternative has been identified.

1.38.   **"Public Record"** shall have the same meaning as the term "public record" in the Illinois Local Records Act, 50 ILCS 205/1 et seq.

1.39.   **"Required Consent"** means that consent required to secure any rights of use of or access to any of Using Agency-Provided Equipment, Using Agency-Provided Software, Using Agency Intellectual Property, Using Agency IP Materials, any other Equipment, any other Software whether Third Party Software or otherwise, any other Intellectual Property whether Third Party Intellectual Property or otherwise, any other IP Material, any of which are required by, requested by, used by or accessed by Contractor, its Subcontractors, employees or other agents in connection with the Services.

1.40.   **"Services"** either: (a) has the same meaning as "Services" as defined in Article 3 of the County's Professional Services Agreement, if such document forms the basis of this Agreement or (b) collectively means all of Contractor's services and other acts required in preparing, developing, and tendering the Using Agency's Deliverables as "Deliverables" is defined in the County's Instruction to Bidders and General Conditions, if such document forms the basis of this Agreement.

1.41.   **"Service Level Agreements"** or **"SLA"** has the same meaning as "Service Level Agreements" as defined in the Statement of Work.

1.42.   **"Software"** has the same meaning as defined in the Professional Services Agreement.

1.43.   **"Software License Agreement"** means the Consultant Software License and Maintenance

Agreement between the Parties, attached as Exhibit 3 to the Professional Services Agreement.

1.44. **"Source Code"** means the programming statements or instructions written or expressed in any language understandable by a human being skilled in the art, which are translated by a language complier to produce executable machine Object Code.

1.45. **"Statement of Work" or "SOW"** means the Statement of Work constituting Exhibit 1 to the Professional Services Agreement.

1.46. ***"Third Party"*** has the same meaning as defined in the Professional Services Agreement ***"Third Party Intellectual Property"*** means all Intellectual Property owned by a Third Party, including Third Party Software.

1.47. ***"Third Party Contractor"*** means a Third Party that provides the Using Agency with products or services that are related to, or in support of, the Services. Subcontractors of Contractor are not "Third Party Contractors."

1.48. ***"Third Party Software"*** means a commercial Software product developed by a Third Party not specifically for or on behalf of the Using Agency. For clarity, custom or proprietary Software, including customizations to Third Party Software, developed by or on behalf of the Using Agency to the Using Agency's specifications shall not be considered Third Party Software.

1.49. ***"Using Agency"*** has the same meaning as the term "Using Agency" in the Cook County Procurement Code, located at Chapter 34, Article IV in the Cook County Code of Ordinances as amended, as applied to each department or agency receiving goods, Services or other Deliverables under this Agreement and includes Cook County, a body politic and corporate of the State of Illinois, on behalf of such Using Agency.

1.50. ***"Using Agency Confidential Information"*** means: (a) all non-public proprietary information of Using Agency that is marked confidential, restricted, proprietary, or with a similar designation; (b) Using Agency Data; and (c) any information that is exempt from public disclosure under the Illinois Freedom of Information Act, 5 ILCS 140/1 et seq. or under the Cook County Code of Ordinances.

1.51. ***"Using Agency Data"*** means all data, whether Personal Information or other data, provided by the Using Agency to Contractor, provided by Third Parties to Contractor for purposes relating to this Agreement, or otherwise encountered by Contractor for purposes relating to this Agreement, including all data sent to Contractor by the Using Agency 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 Using Agency Data, the data in question shall be treated as Using Agency Data. Using Agency Data further includes information that is: (a) input, processed or stored by the Using Agency's IT systems, including any Using Agency-Provided Software; (b) submitted to Contractor or its Subcontractors by any employees, agents, the Using Agency, Third Parties, business partners, and customers in connection with the Services or otherwise; (c) Incident records containing information relating to the Services; (d) Using Agency Intellectual Property and Using Agency IP Materials; (e) any raw data used to generate reports under this Agreement and any data included therein; and (f) Using Agency Confidential Information.

1.52. ***"Using Agency Intellectual Property"*** means all Intellectual Property owned or licensed by the Using Agency, including Developed Intellectual Property.

1.53.   *"Using Agency IP Materials"* means all IP Materials owned or licensed by the Using Agency.

1.54.   *"Using Agency-Provided Equipment"* means Equipment provided by or on behalf of Using Agency.

1.55.   *"Using Agency-Provided Software"* means Software provided by or on behalf of Using Agency.

1.56.   *"WISP"* means written information security program.

2.   SERVICES AND DELIVERABLES

2.1.   Approved Facilities. Contractor will perform Services only within the continental United States and only from locations of the Using Agency or locations owned, leased or otherwise utilized by Contractor and its Subcontractors.

2.2.   Licenses and Export Controls. Contractor will be responsible for obtaining all necessary export authorizations and licenses for export of technical information or data relating to Using Agency Data, Software, Intellectual Property, IP Materials, or otherwise under this Agreement.

2.3.   Required Consents for Assets in Use and Third Party Contracts as of the Effective Date. Contractor shall be responsible for obtaining all Required Consents relating to this Agreement. If Contractor is unable to obtain a Required Consent, Contractor shall implement, subject to the Using Agency's prior approval, alternative approaches as necessary to perform the Services. Contractor shall be responsible for and shall pay all costs associated with this section, including any fees or other charges imposed by the applicable Third Parties as a condition or consequence of their consent (*e.g.*, any transfer, upgrade or similar fees). The Using Agency shall cooperate with Contractor and provide Contractor such assistance in this regard as the Contractor may reasonably request.

2.4.   SLAs and Critical Milestones. Commencing on the Effective Date or as otherwise specified in this Agreement, Contractor shall, as set forth in this Agreement: (a) perform the Services in accordance with SLAs and Critical Milestones; and (b) regularly measure and report on its performance against SLAs and Critical Milestones. Contractor shall maintain all data relating to and supporting the measurement of its performance, including performance against SLAs and Critical Milestones, in sufficient detail to permit a "bottom up" calculation, analysis and reconstruction of performance reports (including all inclusion and exclusion calculations) throughout the term of this Agreement. Such data shall be made available to the Using Agency in an electronic format reasonably acceptable to the Using Agency upon reasonable request and upon the expiration or termination of this Agreement.

2.5.   Default SLAs, Critical Milestones and Fee Reductions. Unless otherwise explicitly specified in this Agreement, including in the Statement of Work, the Contractor's SLAs, SLA targets, and Critical Milestones shall be those that the Using Agency reasonably recognizes as commonly accepted "industry standard practices" for Services of similar cost, size, and criticality. For example and without limitation, such SLAs include availability and performance Contractor-Provided Software and hosting-related Services, on-time delivery of Deliverables, response and resolution times of Contractor's service desk. For example and without limitation, such Critical Milestones include significant events in projects such as completion of major Deliverables. Unless otherwise specified in this Agreement, Contractor shall proportionately reduce fees for failing to perform the Services in accordance with applicable SLAs and for

failing to timely achieve Critical Milestones, and the Using Agency may withhold that amount of fee reduction from any outstanding Contractor invoice. Except as expressly allowed under this Agreement, any such fee reduction accompanying a failure to meet applicable SLAs or Critical Milestones shall not be the Using Agency's exclusive remedy and shall not preclude the Using Agency from seeking other remedies available to it for a material breach of this Agreement.

2.6   RESERVED.

2.7   Project Management Plan. Contractor will prepare, update, and maintain a manual ("Project Management Plan" or "PMP"), in accordance with the Statement of Work, and subject to the Using Agency's review and approval that shall: (a) be based upon ITIL and PMBOK processes and procedures; (b) be suitable to assist the Using Agency and the Using Agency's auditors in verifying and auditing the Contractor's performance of the Services; and (c) detail the operational and management processes by which Contractor will perform the Services under this Agreement, including to the extent applicable, processes relating to: (i) Change Management and Change control; (ii) Incident management; (iii) Problem management; (iv) configuration management; (v) project management; and (vi) administration, including invoicing.

2.8.   Operations Manual. Where this Agreement assumes that the Using Agency will provide Tier 1 help desk support, an Operations Manual will be prepared by Contractor to provide sufficient help desk scripts for the Using Agency to provide such support. Contractor will perform the Services in accordance with the PMP; provided, however, that the provisions of the PMP shall never supersede the provisions of this Agreement.

2.9.   Project Management Methodology. Contractor shall perform the Services in accordance with an industry-recognized project management methodology and procedures, subject to Using Agency approval. Contractor shall comply with the Using Agency's procedures for tracking progress and documents for the duration of the Agreement, including the submission of weekly or monthly status reports to the Using Agency as the Using Agency may require.

2.10.   Change Management Procedures. Contractor shall utilize Change Management procedures, subject to Using Agency approval, that conform to ITIL/ITSM to manage, track and report on Changes relating to the Services, including procedures for scheduling maintenance, patching, replacement of assets, and other matters required for proper management of the Services. No Change will be made without the Using Agency's prior written consent (which may be given or withheld in the Using Agency's sole discretion), unless such Change: (a) has no impact on the Services being provided by Contractor; (b) has no impact on the security of the Using Agency Data and the Using Agency systems; and (c) causes no increase in any fees under this Agreement or the Using Agency's retained costs.

2.11.   Resources Necessary for Services. Except as set forth in this Agreement, Contractor shall provide and be financially responsible for Equipment, Software, materials, systems and other resources needed to perform the Services in accordance with the Agreement. County shall provide and be financially responsible for server hardware and storage in accordance with the Agreement, including acquisition and installation of hardware listed in Exhibit 1 to the PSA. County will also provide backup and disaster recovery hardware and software.

2.12.   Using Agency Resources. Except as explicitly allowed under this Agreement, Contractor shall not use, nor permit any Subcontractor, employee, agent, or other Third Party to use any Using Agency-Provided Equipment, Using Agency-Provided Software, Using Agency facilities, or any other

Equipment, Software, materials, facilities, systems or other resources that the Using Agency provides or otherwise makes available under this Agreement for any purpose other than the performance of the Services; and Contractor shall do so only upon prior written approval of the Using Agency. Contractor shall not purport to, pledge or charge by way of security any of the aforementioned. Contractor shall keep any Equipment owned or leased by the Using Agency that is under Contractor's or a Contractor Subcontractor's control, secure and, for any such Equipment that is not located at the Using Agency facilities, such Equipment shall be clearly identified as the Using Agency's and separable from Contractor's and Third Parties' property. Using Agency shall provide staff workspace, workstations, network access and access to facilities for Contractor, as outlined in the SOW, or otherwise agreed to.

2.13. <u>Maintenance of Assets</u>. Contractor shall maintain Equipment, Software, materials, systems, and other resources utilized predominately or exclusively for performing Services in good condition, less ordinary wear and tear, and in such locations and configurations as to be readily identifiable.

2.14. <u>Service Compatibility</u>. To the extent necessary to provide the Services and specified in the Statement of Work, Contractor shall ensure that the Services, Contractor-Provided Equipment and Contractor-Provided Software (collectively, the "Contractor Resources") are interoperable with the Using Agency-Provided Equipment, Using Agency-Provided Software and with the Using Agency's other Assets, at no cost beyond that specified in this Agreement and without adversely affecting any systems or services retained by the Using Agency or its Third Party Contractors. In the event of any Problem related to service compatibility where it is not known whether the Problem is caused by Contractor's Assets or by Using Agency's Assets, Contractor shall be responsible for correcting the Problem except to the extent that Contractor can demonstrate, to the Using Agency's satisfaction, that the cause was not due to Contractor Resources or to Contractor's action or inaction.

2.15. <u>Cooperation with Using Agency's Third Party Contractors</u>. Contractor shall cooperate with all Third Party Contractors to coordinate its performance of the Services with the services and systems of such Third Party Contractors to the extent specified in the Statement of Work. Subject to reasonable confidentiality requirements, such cooperation shall include providing: (a) applicable written information, standards and policies concerning any or all of the systems, data, computing environment, and technology direction used in performing the Services so that the goods and services provided by the Third Party Contractor may work in conjunction with or be integrated with the Services; (b) assistance and support services to such Third Party Contractors; (c) Contractor's quality assurance, its development and performance acceptance testing and the applicable requirements of any necessary interfaces for the Third Party Contractor's work product; (d) applicable written requirements of any necessary modifications to the systems or computing environment; and (e) access to and use of the Contractor's Assets as mutually agreed upon by the Using Agency and Contractor (such agreement not to be unreasonably withheld or delayed) and subject to the Third Party Contractor's agreement to comply with Contractor's applicable standard security policies.

2.16. <u>Procurement Assistance</u>. At any time during the Agreement, Contractor shall, as requested by the Using Agency, reasonably cooperate and assist the Using Agency with any Using Agency procurement relating to any of the Services or replacing the Services, including: (a) providing information, reports and data for use in the Using Agency's procurement or transition to a subsequent Third Party Contractor; (b) answering Third Parties' and Using Agency's questions regarding the procurement and Services transition; and (c) allowing Third Parties participating in the Using Agency's procurement to perform reasonable, non-disruptive due diligence activities in respect of the relevant Services, including

providing reasonable access to Key Personnel.

3. WARRANTIES

3.1.   Compliance with Law and Regulations. Contractor represents and warrants that it shall perform its obligations under this Agreement in accordance with all Laws applicable to Contractor and its business, including Laws applicable to the manner in which the Services are performed, including any changes in such Laws. With respect to laws governing data security and privacy, the term 'Contractor Laws' shall include any Laws that would be applicable to Contractor if it, rather than the Using Agency, were the owner or data controller of any of the Using Agency Data in its possession or under its control in connection with the Services. Contractor also represents and warrants that it shall identify, obtain, keep current, and provide for Contractor's inspection, all necessary licenses, approvals, permits, authorizations, visas and the like as may be required from time to time under Contractor Laws for Contractor to perform the Services.

3.2.   Non-Infringement. Contractor represents and warrants that it shall perform its responsibilities under this Agreement in a manner that does not infringe any patent, copyright, trademark, trade secret or other proprietary rights of any Third Party.

3.3.   Contractor Materials and Third Party Intellectual Property. Contractor represents and warrants that it owns, or is authorized to use, all Contractor Intellectual Property, Contractor IP Materials and Contractor-provided Third Party Intellectual Property.

3.4.   Software. Contractor warrants that for the duration of the Warranty Period (defined below), all components of the Software provided by or through the Contractor will be in Good Working Order and will operate in accordance with their intended use and meet or exceed the requirements in the Statement of Work. If the manufacturer's warranty for any Commercial Off The Shelf software, custom software, third party software, hardware, installed components, modifications, additions, and parts thereof is in excess of the periods stated herein, then that period of time shall be in effect. During the Warranty Period, the Contractor shall meet or exceed the Service Level Requirements, as provided in the Statement of Work. In addition, the Contractor shall remediate issues identified by the County during its annual penetration test, resulting from defective configuration work performed by the Contractor's team, for up to two annual penetration tests. The Contractor shall provide and bear the cost of all labor and materials required to meet its obligations under this warranty.

3.5.   Software Warranty Period. Software Warranty is governed by the terms of Cook County Contract No. 1518-14681.

3.6.   Developed Software. Developed Software is governed by the terms of Cook County Contract No. 1518-14681.

3.7.   Open Source. Contractor represents and warrants that Contractor has not (i) incorporated Open Source Materials into, or combined Open Source Materials with, the Deliverables or Software, (ii) distributed Open Source Materials in conjunction with any Deliverables or Software, or (iii) used Open Source Materials, in such a way that, with respect to the foregoing (i), (ii), or (iii), creates obligations for the Contractor with respect to any material Deliverables or grant, or purport to grant, to any Third Party, any rights or immunities under any material Deliverables (including, but not limited to, using any Open Source Materials that require, as a condition of use, modification and/or distribution of such Open Source Materials that other material Software included in Deliverables incorporated into, derived from or

distributed with such Open Source Materials be (A) disclosed or distributed in source code form, (B) be licensed for the purpose of making derivative works, or (C) be redistributable at no charge). County acknowledges there are certain Open Source support utilities utilized in the Revenue Premier solution as listed on the Software License Schedule in Exhibit 3. It is understood that Contractor will warrant and provide ongoing support for these utilities, or replacement components, as part of the Maintenance and Support agreement.

3.8. <u>Access to Using Agency Data</u>. Contractor represents and warrants that Contractor has not and will not prevent, or reasonably fail to allow, for any reason including without limitation late payment or otherwise, the Using Agency's access to and retrieval of Using Agency Data. Contractor acknowledges that Using Agency Data may be Public Records and that any person who knowingly, without lawful authority and with the intent to defraud any party, public officer, or entity, alters, destroys, defaces, removes, or conceals any Public Record commits a Class 4 felony.

3.9. <u>Viruses, Worms, Spyware, or Malware</u>. Contractor represents and warrants that the Software, and any Software configured by Contractor shall contain no viruses, worms, spyware, or malware. Contractor represents and warrants that it has not and will not introduce, invoke or cause to be invoked such Illicit Code in any Using Agency IT environment at any time, including upon expiration or termination of this Agreement for any reason, without the Using Agency's prior written consent. If Contractor or County discovers that Illicit Code has been introduced into Software residing on Equipment hosted or supported by Contractor, Contractor shall, at no additional charge, (a) immediately undertake to remove such Illicit Code, (b) promptly notify the other parties in writing of the introduction, and (c) use reasonable efforts to correct and repair any damage to Using Agency Data or Software caused by such Illicit Code and otherwise assist the Using Agency in mitigating such damage and restoring any affected Service, Software or Equipment. Contractor's obligations under this Section 3.9 shall be subject to the provisions of Section 3.12 ("Data Security").

3.10. <u>Software Disabling Mechanism</u>. Hardstop or Passive License Monitoring, and Other Destructive Mechanisms. The Contractor warrants that the Licensed Software and any reports and data provided to the County under the Agreement do not contain any Induced Inhibiting Code ("IIC") or any other inhibitor data or coding. "IIC" means any deliberately included application or coding that may degrade performance, result in inaccurate data, deny accessibility, or in any manner adversely affect programs or data or use of the Licensed Software or its operating environment. The Contractor warrants and represents that the Licensed Software provided pursuant to the Agreement does not contain any coding that may disable the Licensed Software or impair in any way its operation based on the elapsing of a period of time, exceeding an authorized number of copies, advancement to a particular date or other numerals, or other similar self-destruct mechanisms (sometimes referred to as "time bombs," "time locks," or "drop dead" devices) or that would permit the Contractor to access the Licensed Software to cause such disablement or impairment (sometimes referred to as a "trap door" device). The Contractor warrants and represents that the Licensed Software contains no destructive programming that (i) is designed to permit the Contractor or third parties unauthorized access to, or use of, the County's systems or networks; or (ii) would have the effect of disabling or otherwise shutting down all or any portion of the Licensed Software. The Contractor agrees that in the event of a breach of this Subsection, the County may not have an adequate remedy at law, including monetary damages, and that the County is consequently entitled to seek a temporary restraining order, injunction, or other form of equitable relief against the continuance of such breach, in addition to any and all remedies to which the County may be entitled.

3.11. Resale of Equipment and Software. If Contractor resells to the Using Agency any Equipment or Software that Contractor purchased from a Third Party, then Contractor, to the extent it is legally able to do so, shall pass through any such Third Party warranties to the Using Agency and reasonably cooperate in enforcing them. Such warranty pass-through will not relieve Contractor from its warranty obligations set forth in this Section.

3.12. Data Security. The Parties acknowledge that Using Agency, and not Contractor, shall be responsible for the external firewalls and overall security environment of the County's own computer and communications networks. The Parties acknowledge the Contractor, and not Using Agency, shall be responsible for the overall security environment of Contractor's own computer and communications networks, including Contractor's web-based application. Subject to these acknowledgements, Contractor warrants and represents that (i) the performance of the Services shall not permit any unauthorized access to or cause any loss or damage to Using Agency Data, Using Agency Intellectual Property, or other Using Agency Confidential Information; and (ii) it complies and shall comply with all Using Agency security policies in place from time to time during the term of this Agreement.

4. SOURCE CODE ESCROW

4.1. The Contractor represents and warrants that:

(i) The Contractor has entered into the Source Code escrow agreement ("Escrow Agreement") with NCC Group Escrow Associates, LLC.

(ii) All Source Code and related Documentation for the Licensed Software is under escrow deposit pursuant to said Escrow Agreement; and

(iii) The Contractor shall maintain the Escrow Agreement until either (1) the County no longer uses the Licensed Software or (2) the Contractor provides the Source Code to the County.

4.2. The Contractor shall provide to the County all information necessary for the County to comply with registration requirements, if any, of the Escrow Agent. County may be added as a non-exclusive beneficiary to the Escrow Agreement by completing a standard beneficiary enrollment form and paying the annual beneficiary fee (currently $800) directly to the Escrow Agent. County will be responsible for maintaining its ongoing status as a beneficiary, including payment of the then-current annual beneficiary fees. Contractor shall provide thirty (30) days prior written notice of a change of Contractor's Escrow Agent.

4.3. The Contractor shall ensure that:

(i) Source Code must be held by the Escrow Agent in trust for the County, and/or the County named as a beneficiary;

(ii) All updates to the Licensed Software must be escrowed within sixty (60) days of the date of issue;

(iii) The Escrow Agent must verify deposit of the Licensed Software and all updates thereof and so notify the County;

(iv) The County is permitted, at its sole cost and expense, to require periodic testing (but in any event not more than once per year) of all Source Code held in escrow; and

4.4. If the Contractor, its assignee or successor (1) becomes insolvent or ceases to exist as a business entity, or (2) fails to perform its maintenance and support obligations under the Agreement and fails to exert good faith, commercially reasonable efforts to cure said failure within thirty (30) days following the receipt of written notification, , the County shall have the right to so certify to the Escrow Agent and to direct the Escrow Agent to provide the County with a copy of the Source Code and commentary for the installed release level of the Licensed Software used by the County. For the avoidance of doubt, the County can only exercise its rights under item 6.4 (2) above, if the license fees for the Licensed Software have been paid in full to the Contractor.

4.5. The Contractor shall certify in writing that it has deposited, and thereafter will maintain, a current copy of all Source Code related to the Licensed Software, including current commentary, with the Escrow Agent and agrees to comply with the obligations set forth in the Escrow Agreement as required hereby.

4.6. Source Code related to the Licensed Software, as well as any corrections or enhancements to such Source Code, must be updated for each new release, patch, service pack or upgrade of the Licensed Software and placed in escrow as required by this section.

4.7. The Contractor shall certify in writing annually that the Source Code escrow remains in effect with the Escrow Agent in compliance with the terms of this section, and that the Source Code is up to date.

5. INTELLECTUAL PROPERTY

5.1. <u>Using Agency Intellectual Property</u>. The Using Agency retains all right, title and interest in and to all Using Agency Intellectual Property and Using Agency IP Materials. To the extent the Using Agency may grant such license, Contractor is granted a worldwide, fully paid-up, nonexclusive license during the term of this Agreement to access, use, copy, maintain, modify, enhance and create derivative works of the Using Agency Intellectual Property and Using Agency IP Materials that are necessary for performing the Services, and that are explicitly identified in writing by the Using Agency's Chief Information Officer, for the sole purpose of performing the Services pursuant to this Agreement. Contractor shall not be permitted to use any of the Using Agency Intellectual Property or Using Agency IP Materials for the benefit of any entities other than the Using Agency. Contractor shall cease all use of the Using Agency Intellectual Property and Using Agency IP Materials upon expiration or termination of this Agreement. Upon expiration or termination of this Agreement or relevant Services under this Agreement, Contractor shall return to the Using Agency all the Using Agency Intellectual Property, Using Agency IP Materials and copies thereof possessed by Contractor.

5.2. <u>Developed Intellectual Property</u>. As between the Parties, the Using Agency shall have all right, title and interest in all Developed Intellectual Property. Contractor hereby irrevocably and unconditionally assigns, transfers and conveys to the Using Agency without further consideration all of its right, title and interest in such Developed Intellectual Property, including all rights of patent, copyright, trade secret or other proprietary rights in such materials, which assignment shall be effective as of the creation of such works without need for any further documentation or action on the part of the Parties. Contractor agrees to execute any documents or take any other actions as may reasonably be necessary, or as the Using Agency may reasonably request, to perfect the Using Agency's ownership of any such

Developed Intellectual Property. Contractor shall secure compliance with this Section by any personnel, employees, contractors or other agents of Contractor and its Subcontractors involved directly or indirectly in the performance of Services under this Agreement.

      5.3.   <u>Contractor Intellectual Property</u>. Contractor retains all right, title and interest in and to Contractor Intellectual Property and Contractor IP Materials. Subject to the terms of the Software License Agreement, Contractor grants to the Using Agency, a fully-paid, royalty-free, non-exclusive, non-transferable, worldwide, irrevocable, perpetual, assignable license to make, have made, use, reproduce, distribute, publicly display, publicly perform, digitally perform, transmit, and copy based upon Contractor Intellectual Property and Contractor IP Materials, in any media now known or hereafter known, to the extent the same are embodied in the Services and Deliverables, or otherwise required to exploit the Services or Deliverables. During the term of this Agreement and immediately upon any expiration or termination thereof for any reason, Contractor will provide to the Using Agency the most current copies of any Contractor IP Materials to which the Using Agency has rights pursuant to the foregoing, including any related documentation (but excluding the Source Code). This section does not apply to County's right to Source Code and if applicable, other Contractor Intellectual Property and Contractor IP Materials as set forth in Section 4 ("Source Code Escrow") of the ITSC, above.

      5.4.   <u>Third Party Intellectual Property</u>. Contractor shall not introduce into the Using Agency's environment any Third Party Intellectual Property or otherwise use such Third Party Intellectual Property to perform the Services, outside that listed in the Professional Services Agreement, without first obtaining the prior written consent from the Using Agency's Chief Information Officer, which the Using Agency may give or withhold in its sole discretion. A decision by the Using Agency to withhold its consent shall not relieve Contractor of any obligation to perform the Services.

      5.5.   <u>Residual Knowledge</u>. Nothing contained in this Agreement shall restrict either Contractor or Using Agency from the use of any ideas, concepts, know-how, methodologies, processes, technologies, algorithms or techniques relating to the Services which either Contractor or Using Agency, individually or jointly, develops or discloses under this Agreement, provided that in doing so Contractor or Using Agency does not breach its respective obligations under Section 5 relating to confidentiality and non-disclosure and does not infringe the Intellectual Property rights of the other or Third Parties who have licensed or provided materials to the other. Except for the license rights contained under Section 5, neither this Agreement nor any disclosure made hereunder grants any license to either Contractor or Using Agency under any Intellectual Property rights of the other.

      5.6.   <u>Software Licenses</u>. This Agreement (together with the Software License Agreement) contains all terms and conditions relating to all licenses in Contractor-Provided Software and Contractor IP Materials. Except as explicitly set forth elsewhere in this Agreement, and subject to the Software License Agreement (attached as Exhibit 3), all licenses that Contractor grants in Contractor-Provided Software include the right of use by Third Party Contractors for the benefit of the Using Agency, the right to make backup copies for backup purposes or as may be required by the Using Agency's Business Continuity Plan or Disaster Recovery Plan, the right to reasonably approve the procedures by which Contractor may audit the use of license entitlements, and the right to give reasonable approval before Contractor changes Contractor-Provided Software in a manner that materially and negatively impacts the Using Agency.

6. USING AGENCY DATA AND CONFIDENTIALITY

6.1. <u>Property of Using Agency</u>. All Using Agency Confidential Information, including without limitation Using Agency Data, shall be and remain the sole property of the Using Agency. Contractor shall not utilize the Using Agency Data or any other Using Agency Confidential Information for any purpose other than that of performing the Services under this Agreement. Contractor shall not, and Contractor shall ensure that its Subcontractors, its employees, or agents do not, possess or assert any lien or other right against or to the Using Agency Data or any other Using Agency Confidential Information. Without the Using Agency's express written permission, which the Using Agency may give or withhold in its sole discretion, no Using Agency Data nor any other Using Agency Confidential Information, or any part thereof, shall be disclosed, shared, sold, assigned, leased, destroyed, altered, withheld, or otherwise restricted of by Contractor or commercially exploited by or on behalf of Contractor, its employees, Subcontractors or agents.

6.2. <u>Acknowledgment of Importance of Using Agency Confidential Information</u>. Contractor acknowledges the importance of Using Agency Confidential Information, including without limitation Using Agency Data, to the Using Agency and, where applicable, Third Party proprietors of such information, and recognizes that the Using Agency and/or Third Party proprietors may suffer irreparable harm or loss in the event of such information being disclosed or used otherwise than in accordance with this Agreement.

6.3. <u>Return of Using Agency Data and Other Using Agency Confidential Information</u>. Upon the Using Agency's request, at any time during this Agreement or at termination or expiration of this Agreement, Contractor shall promptly return any and all requested Using Agency Data and all other requested Using Agency Confidential Information to the Using Agency or its designee in such a format as the Using Agency may reasonably request. Contractor shall also provide sufficient information requested by the Using Agency about the format and structure of the Using Agency Data to enable such data to be used in substantially the manner in which Contractor utilized such data. Also upon Using Agency's request, in lieu of return or in addition to return, Contractor shall destroy Using Agency Data and other Using Agency Confidential Information, sanitize any media upon which such the aforementioned resided using a process that meets or exceeds DoD 5220.28-M 3-pass specifications, and provide documentation of same within 10 days of completion, all in compliance with Using Agency's policies and procedures as updated. All other materials which contain Using Agency Data and other Using Agency Confidential Information shall be physically destroyed and shredded in accordance to NIST Special Publication 800-88; and upon Using Agency request, Contractor shall provide Using Agency with a certificate of destruction in compliance with NIST Special Publication 800-88. Contractor shall be relieved from its obligation to perform any Service to the extent the return of any Using Agency Data or other Using Agency Confidential Information at the Using Agency's request under this Section materially impacts Contractor's ability to perform such Service; provided, that Contractor gives the Using Agency notice of the impact of the return and continues to use reasonable efforts to perform.

6.4. <u>Public Records</u>. Contractor will adhere to all Laws governing Public Records located at 50 ILCS 205/1 et seq. and at 44 Ill. Admin. Code 4500.10 et seq. Specifically, and without limitation, Contractor shall: (a) store Using Agency Data in such a way that each record is individually accessible for the length of the Using Agency's scheduled retention; (b) retain a minimum of two total copies of all Using Agency Data; (c) retain Using Agency Data according to industry best practices for geographic redundancy, such as NIST Special Publication 800-34 as revised; (d) store and access Using Agency Data in a manner allowing individual records to maintain their relationships with one another; (e) capture relevant

structural, descriptive, and administrative metadata to Using Agency Data at the time a record is created or enters the control of Contractor or its Subcontractors.

6.5.   Disclosure Required by Law, Regulation or Court Order. In the event that Contractor is required to disclose Using Agency Data or other Using Agency Confidential Information in accordance with a requirement or request by operation of Law, regulation or court order, Contractor shall, except to the extent prohibited by law: (a) advise the Using Agency thereof prior to disclosure; (b) take such steps to limit the extent of the disclosure to the extent lawful and reasonably practical; (c) afford the Using Agency a reasonable opportunity to intervene in the proceedings; and (d) comply with the Using Agency's requests as to the manner and terms of any such disclosure.

6.6.   Loss of Using Agency Confidential Information. Without limiting any rights and responsibilities under Section 8 of these IT Special Conditions, in the event of any disclosure or loss of, or inability to account for, any Using Agency Confidential Information, Contractor shall promptly, at its own expense: (a) notify the Using Agency in writing; (b) take such actions as may be necessary or reasonably requested by the Using Agency to minimize the violation; and (c) cooperate in all reasonable respects with the Using Agency to minimize the violation and any damage resulting therefrom.

6.7.   Undertakings With Respect To Personnel. Contractor acknowledges and agrees that it is responsible for the maintenance of the confidentiality of Using Agency Data and other Using Agency Confidential Information by Contractor Personnel. Without limiting the generality of the foregoing, Contractor shall undertake to inform all Contractor Personnel of Contractor's obligations with respect to Using Agency Data and other Using Agency Confidential Information and shall undertake to ensure that all Contractor Personnel comply with Contractor's obligations with respect to same.

6.8.   Background Checks of Contractor Personnel. Whenever the Using Agency deems it reasonably necessary for security reasons, the Using Agency or its designee may conduct, at its expense, criminal and driver history background checks of Contractor Personnel. Contractor and its Subcontractors shall immediately reassign any individual who, in the reasonable opinion of the Using Agency, does not pass the background check.

6.9.   Contractor Confidential Information. Using Agency shall use at least the same degree of care to prevent disclosing Contractor Confidential Information to Third Parties as Using Agency employs to avoid unauthorized disclosure, publication or dissemination of its Using Agency Confidential Information of like character.

7.   DATA SECURITY AND PRIVACY

7.1.   General Requirement of Confidentiality and Security. It shall be Contractor's obligation to maintain the confidentiality and security of all Using Agency Confidential Information, including without limitation Using Agency Data, in connection with the performance of the Services. Without limiting Contractor's other obligations under this Agreement, Contractor shall implement and/or use network management and maintenance applications and tools and appropriate fraud prevention and detection and encryption technologies to protect the aforementioned; provided that Contractor shall, at a minimum, encrypt all Personal Information in-transit and at-rest. Contractor shall perform all Services utilizing security technologies and techniques and in accordance with industry standard practices and the Using Agency's security policies, procedures and other requirements made available to Contractor in writing, including those relating to the prevention and detection of fraud or other inappropriate use or access of systems and networks. Notwithstanding the foregoing, however, Contractor's obligations

under this Section 7.1 are subject to the provisions of Section 3.12 ("Data Security").

7.2.   General Compliance. Contractor shall comply with all applicable Laws, regulatory requirements and codes of practice in connection with all capturing, processing, storing and disposing of Personal Information by Contractor pursuant to its obligations under this Agreement and applicable Data Protection Laws and shall not do, or cause or permit to be done, anything that may cause or otherwise result in a breach by the Using Agency of the same. Contractor and all Contractor Personnel shall comply with all the Using Agency policies and procedures regarding data access, privacy and security.

7.3.   Security. Subject to Section 3.12, Contractor shall establish and maintain reasonable and appropriate physical, logical, and administrative safeguards to preserve the security and confidentiality of the Using Agency Data and other Using Agency Confidential Information and to protect same against unauthorized or unlawful disclosure, access or processing, accidental loss, destruction or damage. Such safeguards shall be deemed reasonable and appropriate if established and maintained with the more rigorous of: (a) the Using Agency Policies as updated; (b) the security standards employed by Contractor with respect to the protection of its confidential information and trade secrets as updated; (c) security standards provided by Contractor to its other customers at no additional cost to such customers, as updated; or (d) compliance with the then-current NIST 800-series standards or an equivalent, generally accepted, industry-standard security standards series.

7.4.   RESERVED.

7.5.   Contractor Personnel. Contractor will oblige its Contractor Personnel to comply with applicable Data Protection Laws and to undertake only to collect, process or use any Using Agency Data, Using Agency Intellectual Property, Using Agency Confidential Information, or Personal Information received from or on behalf of the Using Agency for purposes of, and necessary to, performing the Services and not to make the aforementioned available to any Third Parties except as specifically authorized hereunder. Contractor shall ensure that, prior to performing any Services or accessing any Using Agency Data or other Using Agency Confidential Information, all Contractor Personnel who may have access to the aforementioned shall have executed agreements concerning access protection and data/software security consistent with this Agreement.

7.6.   Information Access. Subject to Section 3.12, Contractor shall not attempt to or permit access to any Using Agency Data or other Using Agency Confidential Information by any unauthorized individual or entity. Contractor shall provide each of the Contractor Personnel, Subcontractors and agents only such access as is minimally necessary for such persons/entities to perform the tasks and functions for which they are responsible. Contractor shall, upon request from the Using Agency, provide the Using Agency with an updated list of those Contractor Personnel, Subcontractors and agents having access to Using Agency Data and other Using Agency Confidential Information and the level of such access. Contractor shall maintain written policies that include auditing access levels and terminating access rights for off-boarded Contractor Personnel, Subcontractors and agents.

7.7.   Encryption Requirement. Contractor shall encrypt all Personal Information and all other Using Agency Confidential Information the disclosure of which would reasonably threaten the confidentiality and security of Using Agency Data. Contractor shall encrypt the aforementioned at rest and in use in a manner that, at a minimum, adheres to NIST SP 800-111, NIST SP 800-52, NIST SP 800-77 and NIST SP 800-113 encryption standards and in accordance with the published specifications of the database management software. Contractor shall not deviate from this encryption requirement without

the advance, written approval of the Using Agency's Information Security Office. It is understood the County is responsible for all data in motion and will be providing network and network security to achieve its goals.

7.8.   Using Agency Security. Contractor shall notify the Using Agency if it becomes aware of any Using Agency security practices or procedures (or any lack thereof) that Contractor believes do not comport with generally accepted security policies or procedures.

7.9.   Data Subject Right of Access and Rectification. If the Using Agency is required to provide or rectify information regarding an individual's Personal Information, Contractor will reasonably cooperate with the Using Agency to the full extent necessary to comply with Data Protection Laws. If a request by a data subject is made directly to Contractor, Contractor shall notify the Using Agency of such request as soon as reasonably practicable.

7.10.   Security, Privacy and Data Minimization in Software Development Life Cycle. Subject to Section 3.12, Contractor shall implement an industry-recognized procedure that addresses the security and privacy of Personal Information as part of the software development life cycle in connection with the performance of the Services. Contractor shall implement procedures to minimize the collection of Personal Information and shall, subject to Using Agency's written request to the contrary, minimize the collection of Personal Information.

7.11.   Advertising and Sale of Using Agency Data. Nothing in this Agreement shall be construed to limit or prohibit a Using Agency's right to advertise, sell or otherwise distribute Using Agency Data as permitted by the Cook County Code of Ordinances.

8.   DATA SECURITY BREACH

8.1.   Notice to Using Agency. Subject to Section 3.12, Contractor shall provide to the Using Agency written notice of such Data Security Breach promptly following, and in no event later than one (1) business day following, the discovery or suspicion of the occurrence of a Data Security Breach. Such notice shall summarize in reasonable detail the nature of the Using Agency Data that may have been exposed, and, if applicable, any persons whose Personal Information may have been affected, or exposed by such Data Security Breach. Contractor shall not make any public announcements relating to such Data Security Breach without the Using Agency's prior written approval.

8.2.   Data Breach Responsibilities. Notwithstanding Section 3.12, if Contractor knows or has reason to know that a Data Security Breach has occurred (or potentially has occurred) as a result of Contractor's willful, reckless or negligent acts or omissions, Contractor shall: (a) reasonably cooperate with the Using Agency in connection with the investigation of known and suspected Data Security Breaches; (b) perform any corrective actions that are within the scope of the Services; and (c) at the request and under the direction of the Using Agency, take any all other remedial actions that the Using Agency deems necessary or appropriate, including without limitation, providing notice to all persons whose Personal Information may have been affected or exposed by such Data Security Breach, whether or not such notice is required by Law.

8.3.   RESERVED.

8.4.   Costs. The costs incurred in connection with Contractor's obligations set forth in Section 7 or Using Agency's obligations under relevant Data Security Laws shall be the responsibility of the Party

whose acts or omissions caused or resulted in the Data Security Beach and are subject to Section 3.12 above, the extent of available insurance proceeds, and the Limitation of Liability sections in the Professional Services Agreement.

9. AUDIT RIGHTS

9.1.   General. Upon reasonable notice, Contractor and its Subcontractors shall provide access to any records, facilities, personnel, and systems relating to the Services, at any time during standard business hours, to the Using Agency and its internal or external auditors, inspectors and regulators in order to audit, inspect, examine, test, and verify: (a) the availability, integrity and confidentiality of Using Agency Data and examine the systems that process, store, support and transmit Using Agency Data; (b) controls placed in operation by Contractor and its Subcontractors relating to Using Agency Data and any Services; (c) Contractor's disaster recovery and backup/recovery processes and procedures; and (d) Contractor's performance of the Services in accordance with the Agreement. The aforementioned Using Agency audit rights include the Using Agency's right to verify or conduct its own SOC 2 audits.

9.2.   RESERVED.

9.3.   RESERVED.

9.4.   Audits Conducted by Contractor. Contractor promptly shall make available to the Using Agency the results of any reviews or audits conducted by Contractor and its Subcontractors, agents or representatives (including internal and external auditors), including SOC 2 audits, relating to Contractor's and its Subcontractors' operating practices and procedures to the extent relevant to the Services or any of Contractor's obligations under the Agreement. To the extent that the results of any such audits reveal deficiencies or issues that impact the Using Agency or the Services, Contractor shall provide the Using Agency with such results promptly following completion thereof.

9.5.   Internal Controls. Contractor shall notify the Using Agency prior to modifying any of its internal controls that impact the Using Agency, the Services and/or Using Agency Data and shall demonstrate compliance with this Agreement.

9.6.   Subcontractor Agreements. Contractor shall ensure that all agreements with its Subcontractors performing Services under this Agreement contain terms and conditions consistent with the Using Agency's audit rights.

10. RESERVED.

10.1.   RESERVED.

10.2.   RESERVED .

10.3.   RESERVED.

10.5.   RESERVED.

10.6.   RESERVED.

10.7.   Removal of Contractor Materials. Contractor shall be responsible at its own expense for

de-installation and removal from the Using Agency Facilities any Equipment owned or leased by Contractor that is not being transferred to the Using Agency under the Agreement subject to the Using Agency's reasonable procedures and in a manner that minimizes the adverse impact on the Using Agency. Prior to removing any documents, equipment, software or other material from any Using Agency Facility, Contractor shall provide the Using Agency with reasonable prior written notice identifying the property it intends to remove. Such identification shall be in sufficient detail to apprise the Using Agency of the nature and ownership of such property.

10.8.　Using Agency-specific Information. Upon Using Agency's request, Contractor will specifically provide to the Using Agency the following Using Agency Data to relating to the Services: (a) SLA statistics, reports and associated raw data; (b) operational logs; (c) the Operations Manual; (d) Incident and Problem logs for at least the previous two (2) years; (e) security features; (f) passwords and password control policies; (g) identification of work planned or in progress as of the Termination Date, including the current status of such work and projects; and (h) any other information relating to the Services or the Using Agency's IT or operating environment which would be required by a reasonably skilled and experienced Contractor of services to assume and to continue to perform the Services following the Termination Date without disruption or deterioration. This section shall not limit any other rights and duties relating to Using Agency Data.

10.9.　Subcontractors and Third Party Contracts. For each contract for which Using Agency has an option to novate or transfer, Contractor will supply the following information upon Using Agency's request: (a) description of the goods or service being provided under the contract; (b) whether the contract exclusively relates to the Services; (c) whether the contract can be assigned, novated or otherwise transferred to the Using Agency or its designee and any restrictions or costs associated with such a transfer; (d) the licenses, rights or permissions granted pursuant to the contract by the Third Party; (e) amounts payable pursuant to the terms of such contract; (f) the remaining term of the contract and termination rights; and (g) contact details of the Third Party. Contractor's agreements with Third Parties that predominantly or exclusively relate to this Agreement shall not include any terms that would restrict such Third Parties from entering into agreements with the Using Agency or its designees as provided herein.

10.10.　Knowledge Transfer. As part of the Statement of Work and proposal, Contractor will provide knowledge transfer services to the Using Agency or the Using Agency's designee to allow the Using Agency or such designee to fully assume, become self-reliant with respect to, and continue without interruption, the provision of the terminated Services. Contractor shall: allow personnel of the Using Agency or the Using Agency's designee to work alongside Contractor Personnel to shadow their role and enable knowledge transfer; answer questions; and explain procedures, tools, utilities, standards and operations used to perform the terminated Services.

10.11.　Change Freeze. Unless otherwise approved by the Using Agency or required on an emergency basis to maintain the performance of the Services in accordance with the Performance Standards and SLAs, during the Exit Assistance Period, Contractor will not make or authorize material Changes to: (a) the terminated Services, including to any Equipment, Software or other facilities used to perform the terminated Services; and (b) any contracts entered into by Contractor that relate to the Services (including contracts with Subcontractors)

11.   MISCELLANEOUS

11.1.   Survival. Sections 1 (Definitions for Special Conditions), 4 (Intellectual Property), 7 (Data Security Breach), and 8 (Audit Rights) shall survive the expiration or termination of this Agreement for a period of five (5) years (and Sections 5 (Using Agency Data and Confidentiality) and 10 (Miscellaneous) shall survive for a period of ten [10] years) from the later of (a) the expiration or termination of this Agreement (including any Exit Assistance Period), or (b) the return or destruction of Using Agency Confidential Information as required by this Agreement.

11.2.   No Limitation. The rights and obligations set forth in these IT special conditions exhibit do not limit the rights and obligations set forth in any Articles of the Professional Services Agreement. For the avoidance of doubt, the use of County in the PSA or GC shall expressly include Using Agency and vice versa.

11.3.   No Waiver of Tort Immunity. Nothing in this Agreement waives immunity available to the Using Agency under Law, including under the Illinois Local Governmental and Governmental Employees Tort Immunity Act, 745 ILCS 10/1-101 et seq.

11.4.   No Click-Wrap or Incorporated Terms. The Using Agency is not bound by any content on the Contractor's website, in any click-wrap, shrink-wrap, browse-wrap or other similar document, even if the Contractor's documentation specifically referenced that content and attempts to incorporate it into any other communication, unless the Using Agency has actual knowledge of the content and has expressly agreed to be bound by it in a writing that has been manually signed by the County's Chief Procurement Officer. It is understood and acknowledged that Third Party software licensed under Exhibit 3 of the PSA may have click-wrap or incorporated terms and conditions.

11.5.   Change Requests. Except as otherwise set forth in this Agreement, this Section 11.5 shall govern all Change Requests and Change Orders. If either Party believes that a Change Order is necessary or desirable, such Party shall submit a Change Request to the other. Contractor shall provide Using Agency with written notification of such other deviation within five (5) business days after receipt of the Change Request. In the event of a Using Agency-initiated Change Request, within five (5) business days of Contractor's receipt of such Change Request, Contractor shall provide to Using Agency a written statement describing in detail: (a) the reasonably anticipated impact on any Services and Deliverables as a result of the Change Request including, without limitation, Changes in Software and Equipment, and (b) the fixed cost or cost estimate for the Change Request. If Licensor submits a Change Request to Customer, such Change Request shall include the information required for a Change Response.

11.6.   Change Orders. Any Change Order that increases the cost or scope of the Agreement, or that materially affects the rights or duties of the Parties as set forth the Agreement, must be agreed upon by the Using Agency in a writing executed by the County's Chief Procurement Officer. In all cases, the approval of all Change Requests and issuance of corresponding Change Orders must comply with the County's Procurement Code. If either Party rejects the other's Change Request, Contractor shall proceed to fulfill its obligations under this Agreement.

11.7.   New Technologies. The County is aware that technology is evolving rapidly and that the Contractor may be in the process of improving its existing products or services; or making available new technologies to its commercial and governmental customers. In this regard, the Contractor shall promptly inform the County of all improvements to the Contractor's existing technologies relevant to any component of the System, including the Contractor's Software. At the County's request, and at no

additional charge, Contractor shall provide the County with any new features, functions, revisions, enhancements, modifications or improvements of the Contractor's Software that the Contractor generally makes available to other similarly-situated customers without charge during the Warranty Period, and as long as the County pays maintenance and support fees.

EXHIBIT 5

IDENTIFICATION OF SUBCONTRACTOR/SUPPLIER/SUBCONSULTANT

**Cook County
Office of the Chief Procurement Officer
Identification of Subcontractor/Supplier/Subconsultant Form**

The Bidder/Proposer/Respondent ("the Contractor") will fully complete and execute and submit an Identification of Subcontractor/Supplier/Subconsultant Form ("ISF") with each Bid, Request for Proposal, and Request for Qualification. **The Contractor must complete the ISF for each Subcontractor, Supplier or Subconsultant which shall be used on the Contract.** In the event that there are any changes in the utilization of Subcontractors, Suppliers or Subconsultants, the Contractor must file an updated ISF.

Bid/RFP/RFQ No.: Contract #1525-15053	Date:
Total Bid or Proposal Amount: $1,819,067	Contract Title: Tax Discovery System Implementation
Contractor: Revenue Solutions, Inc.	Subcontractor/Supplier/ Subconsultant to be added or substitute: None
Authorized Contact for Contractor: Brian Ridderbush	Authorized Contact for Subcontractor/Supplier/ Subconsultant: None
Email Address (Contractor): BRidderbush@RSImail.com	Email Address (Subcontractor): None
Company Address (Contractor): 42 Winter Street	Company Address (Subcontractor): None
City, State and Zip (Contractor): Pembroke, MA 02359	City, State and Zip (Subcontractor): None
Telephone and Fax (Contractor) 888-826-1324 x400	Telephone and Fax (Subcontractor) None
Estimated Start and Completion Dates (Contractor) 12/1/2015 to 6/30/2018	Estimated Start and Completion Dates (Subcontractor) None

Note: Upon request, a copy of all written subcontractor agreements must be provided to the OCPO.

Description of Services or Supplies	Total Price of Subcontract for Services or Supplies
None	None

The subcontract documents will incorporate all requirements of the Contract awarded to the Contractor as applicable. The subcontract will in no way hinder the Subcontractor/Supplier/Subconsultant from maintaining its progress on any other contract on which it is either a Subcontractor/Supplier/Subconsultant or principal contractor. This disclosure is made with the understanding that the Contractor is not under any circumstances relieved of its abilities and obligations, and is responsible for the organization, performance, and quality of work. **This form does not approve any proposed changes, revisions or modifications to the contract approved MBE/WBE Utilization Plan. Any changes to the contract's approved MBE/WBE/Utilization Plan must be submitted to the Office of the Contract Compliance.**

Contractor
Name   Christopher L. Barlow
_____

Title   Chief Financial Officer
_____

Prime Contractor Signature   Date   11/5/15

ISF-1

EXHIBIT 6

MINORITY AND WOMEN OWNED BUSINESS ENTERPRISE COMMITMENT

I.   POLICY AND GOALS

A.   It is the policy of the County of Cook to prevent discrimination in the award of or participation in County Contracts and to eliminate arbitrary barriers for participation in such Contracts by local businesses certified as a Minority Business Enterprise (MBE) and Women-owned Business Enterprise (WBE) as both prime and sub-contractors. In furtherance of this policy, the Cook County Board of Commissioners has adopted a Minority- and Women-owned Business Enterprise Ordinance (the "Ordinance") which establishes annual goals for MBE and WBE participation as outlined below:

Contract Type	Goals	
	MBE	**WBE**
Goods and Services	25%	10%
Construction	24%	10%
Professional Services	35%	Overall

B.   **The County shall set contract-specific goals, based on the availability of MBEs and WBEs that are certified to provide commodities or services specified in this solicitation document. The MBE/WBE participation goals for this Agreement is 0%.** A Bid, Quotation, or Proposal shall be rejected if the County determines that it fails to comply with this General Condition in any way, including but not limited to: (i) failing to state an enforceable commitment to achieve for this contract the identified MBE/WBE Contract goals; or (ii) failing to include a Petition for Reduction/Waiver, which states that the goals for MBE/WBE participation are not attainable despite the Bidder or Proposer Good Faith Efforts, and explains why. If a Bid, Quotation, or Proposal is rejected, then a new Bid, Quotation, or Proposal may be solicited if the public interest is served thereby.

C.   To the extent that a Bid, Quotation, or Proposal includes a Petition for Reduction/Waiver that is approved by the Office of Contract Compliance, the Contract specific MBE and WBE participation goals may be achieved by the proposed Bidder or Proposer's status as an MBE or WBE; by the Bidder or Proposer's enforceable joint-venture agreement with one or more MBEs and/or WBEs; by the Bidder or Proposer entering into one or more enforceable subcontracting agreements with one or more MBE and WBE; by the Bidder or Proposer establishing and carrying out an enforceable mentor/protégé agreement with one or more MBE and WBE; by the Bidder or Proposer actively engaging the Indirect Participation of one or more MBE and WBE in other aspects of its business; or by any combination of the foregoing, so long as the Utilization Plan evidences a commitment to meet the MBE and WBE Contract goals set forth in (B) above, as approved by the Office of Contract Compliance.

D.   A single Person, as defined in the Procurement Code, may not be utilized as both an MBE and a WBE on the same Contract, whether as a Consultant, Subcontractor or supplier.

E.   Unless specifically waived in the Bid or Proposal Documents, this Exhibit; the Ordinance; and the policies and procedures promulgated thereunder shall govern. If there is a conflict

between this Exhibit and the Ordinance or the policies and procedures, the Ordinance shall control.

F.   A Consultant's failure to carry out its commitment regarding MBE and WBE participation in the course of the Contract's performance may constitute a material breach of the Contract. If such breach is not appropriately cured, it may result in withholding of payments under the Contract, contractual penalties, disqualification and any other remedy provided for in Division 4 of the Procurement Code at law or in equity.

II.   REQUIRED BID OR PROPOSAL SUBMITTALS

A Bidder or Proposer shall document its commitment to meeting the Contract specific MBE and WBE participation goals by submitting a Utilization Plan with the Bid or Proposal. The Utilization Plan shall include (1) one or more Letter(s) of Intent from the relevant MBE and WBE firms; and (2) current Letters of Certification as an MBE or WBE. Alternatively, the Bidder or Proposer shall submit (1) a written Petition for Reduction/Waiver with the Bid, Quotation or Proposal, which documents its preceding Good Faith Efforts and an explanation of its inability to meet the goals for MBE and WBE participation. The Utilization Plan shall be submitted at the time that the bid or proposal is due. **Failure to include a Utilization Plan will render the submission not Responsive and shall be cause for the CPO to reject the Bid or Proposal.**

A.   MBE/WBE Utilization Plan

        Each Bid or Proposal shall include a complete Utilization Plan, as set forth on Form 1 of the M/WBE Compliance Forms. The Utilization Plan shall include the name(s), mailing address, email address, and telephone number of the principal contact person of the relevant MBE and WBE firms. If the Bidder or Proposer submits a Bid or Proposal, and any of their subconsultants, suppliers or consultants, are certified MBE or WBE firms, they shall be identified as an MBE or WBE within the Utilization Plan.

        1.   Letter(s) of Intent

        Except as set forth below, a Bid or Proposal shall include, as part of the Utilization Plan, one or more Letter(s) of Intent, as set forth on Form 2 of the M/WBE Compliance Forms, executed by each MBE and WBE and the Bidder or Proposer. The Letter(s) of Intent will be used to confirm that each MBE and WBE shall perform work as a Subcontractor, supplier, joint venture, or consultant on the Contract. Each Letter of Intent shall indicate whether and the degree to which the MBE or WBE will provide goods or services directly or indirectly during the term of the Contract. The box for direct participation shall be marked if the proposed MBE or WBE will provide goods or services directly related to the scope of the Contract. The box for Indirect participation shall be marked if the proposed MBE or WBE will not be directly involved in the Contract but will be utilized by the Bidder or Proposer for other services not related to the Contract. Indirect Participation shall not be counted toward the participation goal. Each Letter of Intent shall accurately detail the work to be performed by the relevant MBE or WBE firm, the agreed dollar amount, the percentage of work, and the terms of payment.

Failure to include Letter(s) of Intent will render the submission not Responsive and shall be cause for the CPO to reject the Bid or Proposal.

All Bids and Proposals must conform to the commitments made in the corresponding Letter(s) of Intent, as may be amended through change orders.

The Contract Compliance Director may at any time request supplemental information regarding Letter(s) of Intent, and such information shall be furnished if the corresponding Bid or Proposal is to be deemed responsive.

2.   Letter(s) of Certification

Only current Letter(s) of Certification from one of the following entities may be accepted as proof of certification for MBE/WBE status, provided that Cook County's requirements for certification are met:

- County of Cook
- City of Chicago

Persons that are currently certified by the City of Chicago in any area other than Construction/Public Works shall also complete and submit a MBE/WBE Reciprocal Certification Affidavit along with a current letter of certification from the City of Chicago. This Affidavit form can be downloaded from www.cookcountyil.gov/contractcompliance.

The Contract Compliance Director may reject the certification of any MBE or WBE on the ground that it does not meet the requirements of the Ordinance, or the policies and rules promulgated thereunder.

3.   Joint Venture Affidavit

In the event a Bid or Proposal achieves MBE and/or WBE participation through a Joint Venture, the Bid or Proposal shall include the required Joint Venture Affidavit, which can be downloaded from www.cookcountyil.gov/contractcompliance. The Joint Venture Affidavit shall be submitted with the Bid or Proposal, along with current Letter(s) of Certification.

B.   Petition for Reduction/Waiver

In the event a Bid or Proposal does not meet the Contract specific goals for MBE and WBE participation, the Bid or Proposal shall include a Petition for Reduction/Waiver, as set forth on Form 3. The Petition for Reduction/Waiver shall be supported by sufficient evidence and documentation to demonstrate the Bidder or Proposer's Good Faith Efforts in attempting to achieve the applicable MBE and WBE goals, and its inability to do so despite its Good Faith Efforts.

Failure to include Petition for Reduction/Waiver will render the submission not Responsive and shall be cause for the CPO to reject the Bid or Proposal.

III.   REDUCTION/WAIVER OF MBE/WBE GOALS

A.   Granting or Denying a Reduction/Waiver Request.

1. The adequacy of the Good Faith Efforts to utilize MBE and WBE firms in a Bid or Proposal will be evaluated by the CCD under such conditions as are set forth in the Ordinance, the policies and rules promulgated thereunder, and in the "Petition for Reduction/Waiver of MBE/WBE Participation Goals" – Form 3 of the M/WBE Compliance Forms.

2. With respect to a Petition for Reduction/Waiver, the sufficiency or insufficiency of a Bidder or Proposer's Good Faith Efforts shall be evaluated by the CCD as of the date upon which the corresponding Bid or Proposal was due.

3. The Contract Compliance Director or his or her duly authorized Waiver Committee may grant or deny the Petition for Reduction/Waiver based upon factors including but not limited to: (a) whether sufficient qualified MBE and WBE firms are unavailable despite good faith efforts on the part of the Bidder or Proposer; (b) the degree to which specifications and the reasonable and necessary requirements for performing the Contract make it impossible or economically infeasible to divide the Contract into sufficiently small tasks or quantities so as to enable the Bidder or Proposer to utilize MBE and WBE firms in accordance with the applicable goals; (c) the degree to which the prices or prices required by any potential MBE or WBE are more that 10% above competitive levels; and (d) such other factors as are determined relevant by the Contract Compliance Director or the duly authorized Waiver Committee.

4. If the Contract Compliance Director or the duly authorized Waiver Committee determines that the Bidder or Proposer has not demonstrated sufficient Good Faith Efforts to meet the applicable MBE and WBE goals, the Contract Compliance Director or the duly authorized Waiver Committee may deny a Petition for Reduction/Waiver, declare the Bid or Proposal non-responsive, and recommend rejection of the Bid, Quotation, or Proposal.

IV.   CHANGES IN CONSULTANT'S UTILIZATION PLAN

A. A Consultant, during its performance of the Contract, may not change the original MBE or WBE commitments specified in the relevant Utilization Plan, including but not limited to, terminating a MBE or WBE Contract, reducing the scope of the work to be performed by a MBE/WBE, or decreasing the price to a MBE/WBE, except as otherwise provided by the Ordinance and according to the policies and procedures promulgated thereunder.

B. Where a Person listed under the Contract was previously considered to be a MBE or

WBE but is later found not to be, or work is found not to be creditable toward the MBE or WBE goals as stated in the Utilization Plan, the Consultant shall seek to discharge the disqualified enterprise, upon proper written notification to the Contract Compliance Director, and make every effort to identify and engage a qualified MBE or WBE as its replacement. Failure to obtain an MBE or WBE replacement within 30 business days of the Contract Compliance Director's written approval of the removal of a purported MBE or WBE may result in the termination of the Contract or the imposition of such remedy authorized by the Ordinance, unless a written Petition for Reduction/Waiver is granted allowing the Consultant to award the work to a Person that is not certified as an MBE or WBE.

V.   NON-COMPLIANCE

If the CCD determines that the Consultant has failed to comply with its contractual commitments or any portion of the Ordinance, the policies and procedures promulgated thereunder, or this Exhibit, the Contract Compliance Director shall notify the Consultant of such determination and may take any and all appropriate actions as set forth in the Ordinance or the policies and procedures promulgated thereunder which includes but is not limited to disqualification, penalties, withholding of payments or other remedies in law or equity.

VI.   REPORTING/RECORD-KEEPING REQUIREMENTS

The Consultant shall comply with the reporting and record-keeping requirements in the manner and time established by the Ordinance, the policies and procedure promulgated thereunder, and the Contract Compliance Director. Failure to comply with such reporting and record-keeping requirements may result in a declaration of Contract default. Upon award of a Contract, a Consultant shall acquire and utilize all Cook County reporting and record-keeping forms and methods which are made available by the Office of Contract Compliance. MBE and WBE firms shall be required to verify payments made by and received from the prime Consultant.

VII.   EQUAL EMPLOYMENT OPPORTUNITY

Compliance with MBE and WBE requirements will not diminish or supplant other legal Equal Employment Opportunity and Civil Rights requirements that relate to Consultant and Subcontractor obligations.

Any questions regarding this section should be directed to:
Contract Compliance Director
Cook County
118 North Clark Street, Room 1020
Chicago, Illinois 60602
(312) 603-5502

Richard Sanchez (Procurement)

From: Aleatha Easley (Contract Compliance)
Sent: Thursday, November 05, 2015 9:40 AM
To: Richard Sanchez (Procurement)
Subject: MBE/WBE Goals for Contract No. 1525-15053

Hello Rich,

After reviewing the provided contract scope for the Contract No. 1525-15053, the Office of Contract Compliance recommends the MBE/WBE goals for the Integrated Tax Processing System Reference Evaluation contract with estimated contract amount $1,819,067.00 for 5 years, be set at 0%MBE/WBE participation. This contact is to provide specialized services to implement Tax Discovery and Decision Analytics software.

Should you have any questions let me know.

Thanks,

Aleatha Easley
Compliance Officer
Cook County Office of Contract Compliance
118 N. Clark Street, Room 1020
Chicago, Illinois 60602
312.603.5504
aleatha.easley@cookcountyil.gov

EXHIBIT 7

EVIDENCE OF INSURANCE

REVENUESOL

ACORD™ CERTIFICATE OF LIABILITY INSURANCE

DATE (MM/DD/YYYY)
09/08/2015

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

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

PRODUCER	CONTACT NAME: Cathi Lawrence		
HUB International New England 222 Milliken Blvd Fall River, MA 02722 508 235-2200	PHONE (A/C, No, Ext): 508-235-2207		FAX (A/C, No): 866-569-4091
	E-MAIL ADDRESS: catherine.lawrence@hubinternational.com		
	INSURER(S) AFFORDING COVERAGE		NAIC #
	INSURER A : National Fire Ins Co of Hartfor		20478
INSURED Revenue Solutions, Inc. 42 Winter Street Suite 36 Pembroke, MA 02359	INSURER B : Continental Casualty Company		20443
	INSURER C : Continental Insurance Co		35289
	INSURER D : Westchester Fire Ins Co		10030
	INSURER E : Hiscox		10200
	INSURER F : Valley Forge		20508

COVERAGES   CERTIFICATE NUMBER: REVISION NUMBER:

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

INSR LTR	TYPE OF INSURANCE	ADDL INSR	SUBR WVD	POLICY NUMBER	POLICY EFF (MM/DD/YYYY)	POLICY EXP (MM/DD/YYYY)	LIMITS	
A	GENERAL LIABILITY			4024725342	07/22/2015	07/22/2016	EACH OCCURRENCE	$1,000,000
	X COMMERCIAL GENERAL LIABILITY						DAMAGE TO RENTED PREMISES (Ea occurrence)	$1,000,000
	CLAIMS-MADE X OCCUR						MED EXP (Any one person)	$5,000
							PERSONAL & ADV INJURY	$1,000,000
							GENERAL AGGREGATE	$2,000,000
	GEN'L AGGREGATE LIMIT APPLIES PER: POLICY PRO-JECT LOC						PRODUCTS - COMP/OP AGG	$2,000,000
								$
F	AUTOMOBILE LIABILITY			4025697136	07/22/2015	07/22/2016	COMBINED SINGLE LIMIT (Ea accident)	$1,000,000
	X ANY AUTO						BODILY INJURY (Per person)	$
	ALL OWNED AUTOS SCHEDULED AUTOS						BODILY INJURY (Per accident)	$
	X HIRED AUTOS X NON-OWNED AUTOS						PROPERTY DAMAGE (Per accident)	$
								$
B	X UMBRELLA LIAB X OCCUR			4024725356	07/22/2015	07/22/2016	EACH OCCURRENCE	$10,000,000
	EXCESS LIAB CLAIMS-MADE						AGGREGATE	$10,000,000
	DED X RETENTION $10000							$
C	WORKERS COMPENSATION AND EMPLOYERS' LIABILITY Y/N ANY PROPRIETOR/PARTNER/EXECUTIVE OFFICER/MEMBER EXCLUDED? N (Mandatory in NH) If yes, describe under DESCRIPTION OF OPERATIONS below	N/A		WC4024725373 C WC424647774	07/22/2015 07/22/2015	07/22/2016 07/22/2016	X WC STATU-TORY LIMITS OTH-ER E.L. EACH ACCIDENT E.L. DISEASE - EA EMPLOYEE E.L. DISEASE - POLICY LIMIT	$1,000,000 $1,000,000 $1,000,000
D	Professional			G27158584001	08/09/2015	08/09/2016	5,000,000	
E	Excess Profe			USUCS268744114	08/09/2015	08/09/2016	5,000,000	

DESCRIPTION OF OPERATIONS / LOCATIONS / VEHICLES (Attach ACORD 101, Additional Remarks Schedule, if more space is required)
Project: Cook County Professioinal Service Agreement
Cook County is named as an additional insured on a primary and non-contributory basis as required by written contract for the project referenced.
Professional and Excess Professional Laibility coverage includes Network Security & Privacy Liability Coverages.

CERTIFICATE HOLDER	CANCELLATION
Cook County Chief Procurement Officer 118 North Clark Street Room 118 Chicago, IL 60602	SHOULD ANY OF THE ABOVE DESCRIBED POLICIES BE CANCELLED BEFORE THE EXPIRATION DATE THEREOF, NOTICE WILL BE DELIVERED IN ACCORDANCE WITH THE POLICY PROVISIONS.
	AUTHORIZED REPRESENTATIVE *John Zawulinski*

ACORD 25 (2010/05)   1 of 1   The ACORD name and logo are registered marks of ACORD
#S1453787/M1432851

CL003

EXHIBIT 8

BOARD AUTHORIZATION

File #:	16-0041	**Version:** 1	**Name:**	Revenue Systems, Inc., Pembroke, Massachusetts
Type:	Contract Amendment (Technology)		**Status:**	Approved
File created:	11/4/2015		**In control:**	Board of Commissioners
On agenda:	12/16/2015		**Final action:**	12/16/2015
Title:	PROPOSED CONTRACT (TECHNOLOGY)			

Department(s): Bureau of Technology

Vendor: Revenue Solutions, Inc., Pembroke, Massachusetts

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

Good(s) or Service(s): Integrated Home Rule Tax Processing System Discovery System

Contract Value: $1,819,067.00

Contract period: 1/1/2016-12/31/2018 with five (5) one (1) year renewal options

Potential Fiscal Year Budget Impact: FY 2016 $536,250.00; FY 2017 $475,000.00; FY 2018 $807,817.00

Accounts: 1300906429

Contract Number(s): 1525-15053

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

The Chief Procurement Officer concurs.

Summary: In cooperation with the Department of Revenue (DOR), the Bureau of Technology requests approval of a contract with Revenue Solutions, Inc. to develop tax discovery strategies, procedures for identifying tax discovery targets, and a tax discovery framework. These discovery services will run parallel to and supplement the implementation of the Integrated Tax Processing System (ITPS), which was previously approved by this Board on 9/9/2015.

This is a comparable Government Procurement pursuant to Section 34-140 of the Cook County Procurement Code. Revenue Solutions, Inc. was previously awarded a contract by the State of Rhode Island through a competitive Request for Proposal process. Cook County wishes to leverage this procurement effort.

Sponsors:

Indexes: SIMONA ROLLINSON, Chief Information Officer, Bureau of Technology, ZAHRA ALI, Director, Department of Revenue

Code sections:

Attachments:

Date	Ver.	Action By	Action	Result
12/16/2015	1	Board of Commissioners	approved	Pass

PROPOSED CONTRACT (TECHNOLOGY)

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EXHIBIT 9

ECONOMIC DISCLOSURE STATEMENT

CONTRACT NO.
1525-15053

COOK COUNTY
ECONOMIC DISCLOSURE STATEMENT
AND EXECUTION DOCUMENT
INDEX

Section	Description	Pages
1	Instructions for Completion of EDS	EDS i - ii
2	Certifications	EDS 1– 2
3	Economic and Other Disclosures, Affidavit of Child Support Obligations, Disclosure of Ownership Interest and Familial Relationship Disclosure Form	EDS 3 – 12
4	Cook County Affidavit for Wage Theft Ordinance	EDS 13-14
5	Contract and EDS Execution Page	EDS 15-17
6	Cook County Signature Page	EDS 18

See attached Illinois Business Registration at end of document.

SECTION 1
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 Proposer responding to a Request for Proposals, and every Respondent responding to a Request for Qualifications, and others as required by the Chief Procurement Officer. The execution of the EDS shall serve as the execution of a contract awarded by the County. The Chief Procurement Officer reserves the right to request that the Bidder or Proposer, or Respondent provide an updated EDS on an annual basis.

Definitions. 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, as applicable.

Affiliate means a person that directly or indirectly through one or more intermediaries, Controls is Controlled by, or is under common Control with the Person specified.

Applicant means a person who executes this EDS.

Bidder means any person who submits a Bid.

Code means the Code of Ordinances, Cook County, Illinois available on municode.com.

Contract shall include any written document to make Procurements by or on behalf of Cook County.

Contractor or *Contracting Party* means a person that enters into a Contract with the County.

Control means the unfettered authority to directly or indirectly manage governance, administration, work, and all other aspects of a business.

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

Joint Venture means an association of two or more Persons proposing to perform a for-profit business enterprise. Joint Ventures must have an agreement in writing specifying the terms and conditions of the relationship between the partners and their relationship and respective responsibility for the Contract

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 who lobbies.

Person or *Persons* means any individual, corporation, partnership, Joint Venture, trust, association, Limited Liability Company, sole proprietorship or other legal entity.

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.

Proposal means a response to an RFP.

Proposer means a person submitting a Proposal.

Response means response to an RFQ.

Respondent means a person responding to an RFQ.

RFP means a Request for Proposals issued pursuant to this Procurement Code.

RFQ means a Request for Qualifications issued to obtain the qualifications of interested parties.

INSTRUCTIONS FOR COMPLETION OF
ECONOMIC DISCLOSURE STATEMENT AND EXECUTION DOCUMENT

Section 1: Instructions. Section 1 sets forth the instructions for completing and executing this EDS.

Section 2: Certifications. Section 2 sets forth certifications that are required for contracting parties under the Code and other applicable laws. 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 3: Economic and Other Disclosures Statement. Section 3 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 Applicant to the warranties, representations, agreements and acknowledgements contained therein.

Required Updates. The Applicant is required to keep all information provided in this EDS current and accurate. In the event of any change in the information provided, including but not limited to any change which would render inaccurate or incomplete any certification or statement made in this EDS, the Applicant shall supplement this EDS up to the time the County takes action, by filing an amended EDS or such other documentation as is required.

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, and the Applicant is expected to comply fully with these ordinances. For further information please contact the Director of Ethics at (312) 603-4304 (69 W. Washington St. Suite 3040, Chicago, IL 60602) or visit the web-site at cookcountyil.gov/ethics-board-of.

Authorized Signers of Contract and EDS Execution Page. If the Applicant is a corporation, the President and Secretary must execute the EDS. In the event that this EDS is executed by someone other than the President, attach hereto a certified copy of that section of the Corporate By-Laws or other authorization by the Corporation, satisfactory to the County that permits the person to execute EDS for said corporation. If the corporation is not registered in the State of Illinois, a copy of the Certificate of Good Standing from the state of incorporation must be submitted with this Signature Page. (See Attached)

If the Applicant is a partnership or joint venture, all partners or joint venturers must execute the EDS, unless one partner or joint venture has been authorized to sign for the partnership or joint venture, in which case, the partnership agreement, resolution or evidence of such authority satisfactory to the Office of the Chief Procurement Officer must be submitted with this Signature Page.

If the Applicant is a member-managed LLC all members must execute the EDS, unless otherwise provided in the operating agreement, resolution or other corporate documents. If the Applicant is a manager-managed LLC, the manager(s) must execute the EDS. The Applicant must attach either a certified copy of the operating agreement, resolution or other authorization, satisfactory to the County, demonstrating such person has the authority to execute the EDS on behalf of the LLC. 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.

If the Applicant is a Sole Proprietorship, the sole proprietor must execute the EDS.

A "Partnership" "Joint Venture" or "Sole Proprietorship" operating under an Assumed Name must be registered with the Illinois county in which it is located, as provided in 805 ILCS 405 (2012), and documentation evidencing registration must be submitted with the EDS.

CERTIFICATIONS

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

A. **PERSONS AND ENTITIES SUBJECT TO DISQUALIFICATION**

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

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

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

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

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

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

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

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

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

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

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

B. **BID-RIGGING OR BID ROTATING**

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

C. **DRUG FREE WORKPLACE ACT**

THE APPLICANT HEREBY CERTIFIES THAT: The Applicant will provide a drug free workplace, as required by (30 ILCS 580/3).

D. DELINQUENCY IN PAYMENT OF TAXES

THE APPLICANT HEREBY CERTIFIES THAT: *The Applicant is not an owner or a party responsible for the payment of any tax or fee administered by Cook County, by a local municipality, or by the Illinois Department of Revenue, which such tax or fee is delinquent, such as bar award of a contract or subcontract pursuant to the Code, Chapter 34, Section 34-171.*

E. HUMAN RIGHTS ORDINANCE

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

F. ILLINOIS HUMAN RIGHTS ACT

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

G. INSPECTOR GENERAL (COOK COUNTY CODE, CHAPTER 34, SECTION 34-174 and Section 34-250)

The Applicant has not willfully failed to cooperate in an investigation by the Cook County Independent Inspector General or to report to the Independent Inspector General any and all information concerning conduct which they know to involve corruption, or other criminal activity, by another county employee or official, which concerns his or her office of employment or County related transaction.

The Applicant has reported directly and without any undue delay any suspected or known fraudulent activity in the County's Procurement process to the Office of the Cook County Inspector General.

H. CAMPAIGN CONTRIBUTIONS (COOK COUNTY CODE, CHAPTER 2, SECTION 2-585)

THE APPLICANT CERTIFIES THAT: It has read and shall comply with the Cook County's Ordinance concerning campaign contributions, which is codified at Chapter 2, Division 2, Subdivision II, Section 585, and can be read in its entirety at www.municode.com.

I. GIFT BAN, (COOK COUNTY CODE, CHAPTER 2, SECTION 2-574)

THE APPLICANT CERTIFIES THAT: It has read and shall comply with the Cook County's Ordinance concerning receiving and soliciting gifts and favors, which is codified at Chapter 2, Division 2, Subdivision II, Section 574, and can be read in its entirety at www.municode.com.

J. LIVING WAGE ORDINANCE PREFERENCE (COOK COUNTY CODE, CHAPTER 34, SECTION 34-160;

Unless expressly waived by the Cook County Board of Commissioners, the Code requires that a living wage must be paid to individuals employed by a Contractor which has a County Contract and by all subcontractors of such Contractor under a County Contract, throughout the duration of such County Contract. The amount of such living wage is annually by the Chief Financial Officer of the County, and shall be posted on the Chief Procurement Officer's website.

The term "Contract" as used in Section 4, I, of this EDS, specifically excludes contracts with the following:

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

2) Community Development Block Grants;

3) Cook County Works Department;

4) Sheriff's Work Alternative Program; and

5) Department of Correction inmates.

SECTION 3

REQUIRED DISCLOSURES

1. DISCLOSURE OF LOBBYIST CONTACTS

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

Name   Address

___None____

2. LOCAL BUSINESS PREFERENCE STATEMENT (CODE, CHAPTER 34, SECTION 34-230)

Local business means a Person, including a foreign corporation authorized to transact business in Illinois, having a bona fide establishment located within the County at which it is transacting business on the date when a Bid is submitted to the County, and which employs the majority of its regular, full-time work force within the County. A Joint Venture shall constitute a Local Business if one or more Persons that qualify as a "Local Business" hold interests totaling over 50 percent in the Joint Venture, even if the Joint Venture does not, at the time of the Bid submittal, have such a bona fide establishment within the County.

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

Yes:_____ No: X_____

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

_____

_____

_____

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

Yes:_____ No: X_____

3. THE CHILD SUPPORT ENFORCEMENT ORDINANCE (CODE, CHAPTER 34, SECTION 34-172)

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-5) and complete the Affidavit, based on the instructions in the Affidavit.

4.   REAL ESTATE OWNERSHIP DISCLOSURES.

The Applicant 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 Applicant in Cook County:

PERMANENT INDEX NUMBER(S): _____

_____

_____

(ATTACH SHEET IF NECESSARY TO LIST ADDITIONAL INDEX NUMBERS)

OR:

b)   ___X___The Applicant owns no real estate in Cook County.

5.   EXCEPTIONS TO CERTIFICATIONS OR DISCLOSURES.

If the Applicant 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 Applicant must explain below:

None
_____

_____

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 Applicant 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.

"*Person*" "*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. A Person that holds stock or a beneficial interest in the Applicant <u>and</u> 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 ___Revenue Solutions, Inc._____

D/B/A:_____ FEIN NO.: ___04-3312927_____

Street Address:___42 Winter Street_____

City: ___Pembroke_____   State: ___MA_____   Zip Code: ____02359_____

Phone No.:___781-826-1546_____Fax Number: ___781-826-1324___   Email: ___tcanniff@rsimail.com___

Cook County Business Registration Number: ___N/A_____
(Sole Proprietor, Joint Venture Partnership)

Corporate File Number (if applicable): ____N/A_____

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 Person 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
Mark C. Havens	5020 Independence Ave. Bronx, NY 10471	45%
Paul G. Panariello	3 Stonehill Lane, Milton, MA 02186	35%

2. If the interest of any Person 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 [XX] No

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

Name	Address	Percentage of Beneficial Interest	Relationship

Corporate Officers, Members and Partners Information:

For all corporations, list the names, addresses, and terms for all corporate officers. For all limited liability companies, list the names, addresses for all members. For all partnerships and joint ventures, list the names, addresses, for each partner or joint venture.

Name	Address	Title (specify title of Office, or whether manager or partner/joint venture)	Term of Office
Mark C. Havens	5020 Independence Ave. Bronx, NY 10471	President	Ongoing
Paul G. Panariello	3 Stonehill Lane, Milton, MA 02186	VP/Secretary	Ongoing
Christopher L. Barlow	12 Back River Way, Duxbury, MA 02332	Treasurer/Asst Sec.	Ongoing

Declaration (check the applicable box):

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

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

COOK COUNTY DISCLOSURE OF OWNERSHIP INTEREST STATEMENT SIGNATURE PAGE

Christopher L. Barlow

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

[signature]

Signature

CBarlow@RSImail.com

E-mail address

Subscribed to and sworn before me
this ___5___ day of NOV , 2015.

X _____
                Notary Public Signature

CFO, Treasurer, & Asst. Secretary

Title

11/5/15

Date

781-826-1546

Phone Number

My commission expires: 5/29/20

Notary Seal

EDS-8

8/2015
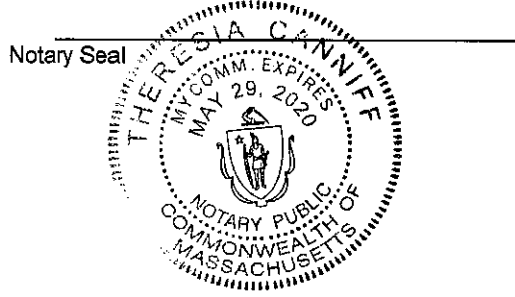
COOK COUNTY BOARD OF ETHICS
69 W. WASHINGTON STREET, SUITE 3040
CHICAGO, ILLINOIS 60602
312/603-4304 Office   312/603-9988 Fax

FAMILIAL RELATIONSHIP DISCLOSURE PROVISION

Nepotism Disclosure Requirement:

Doing a significant amount of business with the County requires that you disclose to the Board of Ethics the existence of any familial relationships with any County employee or any person holding elective office in the State of Illinois, the County, or in any municipality within the County. The Ethics Ordinance defines a significant amount of business for the purpose of this disclosure requirement as more than $25,000 in aggregate County leases, contracts, purchases or sales in any calendar year.

If you are unsure of whether the business you do with the County or a County agency will cross this threshold, err on the side of caution by completing the attached familial disclosure form because, among other potential penalties, any person found guilty of failing to make a required disclosure or knowingly filing a false, misleading, or incomplete disclosure will be prohibited from doing any business with the County for a period of three years. The required disclosure should be filed with the Board of Ethics by January 1 of each calendar year in which you are doing business with the County and again with each bid/proposal/quotation to do business with Cook County. The Board of Ethics may assess a late filing fee of $100 per day after an initial 30-day grace period.

The person that is doing business with the County must disclose his or her familial relationships. If the person on the County lease or contract or purchasing from or selling to the County is a business entity, then the business entity must disclose the familial relationships of the individuals who are and, during the year prior to doing business with the County, were:

- its board of directors,
- its officers,
- its employees or independent contractors responsible for the general administration of the entity,
- its agents authorized to execute documents on behalf of the entity, and
- its employees who directly engage or engaged in doing work with the County on behalf of the entity.

Do not hesitate to contact the Board of Ethics at (312) 603-4304 for assistance in determining the scope of any required familial relationship disclosure.

Additional Definitions:

"Familial relationship" means a person who is a spouse, domestic partner or civil union partner of a County employee or State, County or municipal official, or any person who is related to such an employee or official, whether by blood, marriage or adoption, as a:

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

COOK COUNTY BOARD OF ETHICS
FAMILIAL RELATIONSHIP DISCLOSURE FORM

A.   **PERSON DOING OR SEEKING TO DO BUSINESS WITH THE COUNTY**

Name of Person Doing Business with the County: Revenue Solutions, Inc.

Address of Person Doing Business with the County: 42 Winter Street, Suite #36, Pembroke, MA 02359

Phone number of Person Doing Business with the County: 781-826-1546

Email address of Person Doing Business with the County: TCanniff@RSImail.com

If Person Doing Business with the County is a Business Entity, provide the name, title and contact information for the individual completing this disclosure on behalf of the Person Doing Business with the County:

Theresia Canniff, Operations Manager, 781-709-5113

B.   **DESCRIPTION OF BUSINESS WITH THE COUNTY**

Append additional pages as needed and for each County lease, contract, purchase or sale sought and/or obtained during the calendar year of this disclosure (or the proceeding calendar year if disclosure is made on January 1), identify:

The lease number, contract number, purchase order number, request for proposal number and/or request for qualification number associated with the business you are doing or seeking to do with the County: _____

1525-15053

The aggregate dollar value of the business you are doing or seeking to do with the County: $ $1,819,067

The name, title and contact information for the County official(s) or employee(s) involved in negotiating the business you are doing or seeking to do with the County: _____

Regine Nazaire, PMO Program Manager, 312-503-1411 Regine.Nazaire@cookcounty.govil.gov

The name, title and contact information for the County official(s) or employee(s) involved in managing the business you are doing or seeking to do with the County: _____

Same as above line

C.   **DISCLOSURE OF FAMILIAL RELATIONSHIPS WITH COUNTY EMPLOYEES OR STATE, COUNTY OR MUNICIPAL ELECTED OFFICIALS**

Check the box that applies and provide related information where needed

☐   The Person Doing Business with the County **is an individual** and there is **no familial relationship** between this individual and any Cook County employee or any person holding elective office in the State of Illinois, Cook County, or any municipality within Cook County.

☒   The Person Doing Business with the County **is a business entity** and there is **no familial relationship** between any member of this business entity's board of directors, officers, persons responsible for general administration of the business entity, agents authorized to execute documents on behalf of the business entity or employees directly engaged in contractual work with the County on behalf of the business entity, and any Cook County employee or any person holding elective office in the State of Illinois, Cook County, or any municipality within Cook County.

COOK COUNTY BOARD OF ETHICS
FAMILIAL RELATIONSHIP DISCLOSURE FORM

☐   The Person Doing Business with the County **is an individual** and **there is a familial relationship** between this individual and at least one Cook County employee and/or a person or persons holding elective office in the State of Illinois, Cook County, and/or any municipality within Cook County. **The familial relationships are as follows:**

Name of Individual Doing Business with the County	Name of Related County Employee or State, County or Municipal Elected Official	Title and Position of Related County Employee or State, County or Municipal Elected Official	Nature of Familial Relationship*

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

☐   The Person Doing Business with the County **is a business entity** and **there is a familial relationship** between at least one member of this business entity's board of directors, officers, persons responsible for general administration of the business entity, agents authorized to execute documents on behalf of the business entity and/or employees directly engaged in contractual work with the County on behalf of the business entity, on the one hand, and at least one Cook County employee and/or a person holding elective office in the State of Illinois, Cook County, and/or any municipality within Cook County, on the other. **The familial relationships are as follows:**

Name of Member of Board of Director for Business Entity Doing Business with the County	Name of Related County Employee or State, County or Municipal Elected Official	Title and Position of Related County Employee or State, County or Municipal Elected Official	Nature of Familial Relationship*

Name of Officer for Business Entity Doing Business with the County	Name of Related County Employee or State, County or Municipal Elected Official	Title and Position of Related County Employee or State, County or Municipal Elected Official	Nature of Familial Relationship*
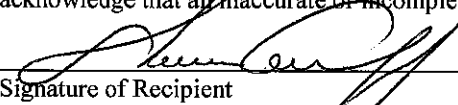
Name of Person Responsible for the General Administration of the Business Entity Doing Business with the County	Name of Related County Employee or State, County or Municipal Elected Official	Title and Position of Related County Employee or State, County or Municipal Elected Official	Nature of Familial Relationship*
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

Name of Agent Authorized to Execute Documents for Business Entity Doing Business with the County	Name of Related County Employee or State, County or Municipal Elected Official	Title and Position of Related County Employee or State, County or Municipal Elected Official	Nature of Familial Relationship*
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

Name of Employee of Business Entity Directly Engaged in Doing Business with the County	Name of Related County Employee or State, County or Municipal Elected Official	Title and Position of Related County Employee or State, County or Municipal Elected Official	Nature of Familial Relationship*
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

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

VERIFICATION: To the best of my knowledge, the information I have provided on this disclosure form is accurate and complete. I acknowledge that an inaccurate or incomplete disclosure is punishable by law, including but not limited to fines and debarment.

_____   _____11/5/15_____
Signature of Recipient   Date

SUBMIT COMPLETED FORM TO: Cook County Board of Ethics
69 West Washington Street, Suite 3040, Chicago, Illinois 60602
Office (312) 603-4304 – Fax (312) 603-9988
CookCounty.Ethics@cookcountyil.gov

* Spouse, domestic partner, civil union partner or parent, child, sibling, aunt, uncle, niece, nephew, grandparent or grandchild by blood, marriage (*i.e.* in laws and step relations) or adoption.

IV.   Request for Waiver or Reduction

If Person/Substantial Owner answered **"Yes"** to any of the questions above, it may request a reduction or waiver in accordance with Section 34-179(d), provided that the request for reduction of waiver is made on the basis of one or more of the following actions that have taken place:

There has been a bona fide change in ownership or Control of the ineligible Person or Substantial Owner
XYESXOX **NO**

Disciplinary action has been taken against the individual(s) responsible for the acts giving rise to the violation
XYESXOXNO

Remedial action has been taken to prevent a recurrence of the acts giving rise to the disqualification or default
XYESXOXNO

Other factors that the Person or Substantial Owner believe are relevant.
XYESXOXNO

The Person/Substantial Owner must submit documentation to support the basis of its request for a reduction or waiver. The Chief Procurement Officer reserves the right to make additional inquiries and request additional documentation.

V.   Affirmation

The Person/Substantial Owner affirms that all statements contained in the Affidavit are true, accurate and complete.

Signature: _____

Name of Person signing (Print): MARK HAVENS   Date: 11/5/15

                                                    Title: PRESIDENT

Subscribed and sworn to before me this _____5th_____ day of _NOVEMBER_____, 20_15_

X_____
        Notary Public Signature

Note: The above information is subject to verification prior to the award of the Contract.

EDS-14

8/2015

CONTRACT NO. 1525-15053
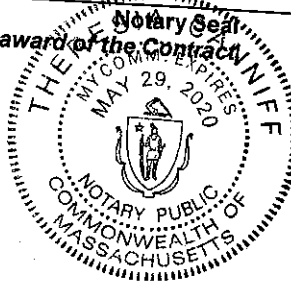
CONTRACT AND EDS EXECUTION PAGE
PLEASE EXECUTE THREE ORIGINAL PAGES OF EDS

The Applicant hereby certifies and warrants that all of the statements, certifications and representations set forth in this EDS are true, complete and correct; that the Applicant is in full compliance and will continue to be in compliance throughout the term of the Contract or County Privilege issued to the Applicant with all the policies and requirements set forth in this EDS; and that all facts and information provided by the Applicant in this EDS are true, complete and correct. The Applicant agrees to inform the Chief Procurement Officer 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.

Execution by Corporation

Revenue Solutions, Inc.
Corporation's Name

781-826-1546
Telephone

_____
Secretary Signature

Mark C. Havens
President's Printed Name and Signature

MHavens@RSImail.com
Email

11/5/15
Date

Execution by LLC

_____
LLC Name

_____
Date

_____
*Member/Manager Printed Name and Signature

_____
Telephone and Email

Execution by Partnership/Joint Venture

_____
Partnership/Joint Venture Name

_____
Date

_____
*Partner/Joint Venturer Printed Name and Signature

_____
Telephone and Email

Execution by Sole Proprietorship

_____
Printed Name Signature

_____
Date

_____
Assumed Name (if applicable)

_____
Telephone and Email

Subscribed and sworn to before me this
_____5th____ day of ___NOV___ , 20 15.

_____
Notary Public Signature

My commission expires
5/29/20

Notary Seal
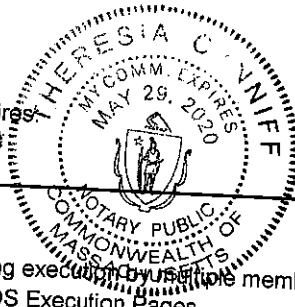
*If the operating agreement, partnership agreement or governing documents requiring execution by multiple members, managers, partners, or joint venturers, please complete and execute additional Contract and EDS Execution Pages.

EDS-15

ATTACHMENT 1

STATE OF RHODE ISLAND, DEPARTMENT OF REVENUE, DIVISION OF
TAXATION, TAX DISCOVERY (DATA WAREHOUSE) AGREEMENT

DATA WAREHOUSE AGREEMENT

Between

State of Rhode Island
Department of Administration

and

Revenue Solutions, Inc.

This Data Warehouse Agreement (hereinafter "Agreement") is made and entered into this 2nd day of October, 2007, by and between the State of Rhode Island and Providence Plantations acting by and through the Department of Administration (hereinafter "State") on behalf of the Department of Revenue (hereinafter "DOR") and Revenue Solutions, Inc., a corporation organized and existing under the laws of the Commonwealth of Massachusetts, and registered to do business in the State of Rhode Island, with a primary office at 42 Winter Street, Pembroke, Massachusetts 02359 (hereinafter "RSI").

State and RSI are sometimes jointly referred to hereinafter as the "Parties".

WHEREAS, the State desires to implement a data warehouse that would provide a centralized environment with tools to allow users to create and run reports and queries that would assist DOR in the collection of tax dollars and management information, thereby increasing tax revenue and realizing organizational efficiencies;

WHEREAS, in order to obtain such services to implement the data warehouse the State issued RFP #7003414 dated May 1, 2007 and titled "Data Warehouse," Addendum #1 dated April 9, 2007, Addendum #2 dated April 18, 2007, Addendum #3 dated April 24, 2007 and Addendum #4 dated April 27, 2007 (collectively hereinafter "RFP"), all of which are incorporated herein by reference;

WHEREAS, RSI in response to the RFP submitted a Transmittal Letter dated May 2, 2007 with a Technical Proposal and a Cost Proposal dated May 4, 2007 (collectively hereinafter "Proposal"), all of which are incorporated by reference herein;

WHEREAS, RSI submitted to the State an Amended Statement of Work dated October 2, 2007, with its attachments and exhibits (hereinafter, the "SOW" or "Scope of Work"), attached hereto and made a part hereof as Exhibit 1; and,

WHEREAS, the Parties desire to establish an agreement for RSI to furnish the services.

NOW THEREFORE, for good and valuable consideration exchanged by and between the Parties, the receipt and sufficiency of which is hereby acknowledged, the Parties agree as follows:

1. **Precatory Clauses.** The precatory "Whereas" clauses are incorporated herein and made a part of this Agreement.

2.   **Term.** This Agreement will be for an initial term of two (2) years, unless otherwise terminated as provided herein (hereinafter "Initial Term"). This Agreement may be renewed annually at the State's sole option for successive one-year terms beyond the initial twenty-four month period (each a "Renewal Term") upon written notice to RSI not less than ninety (90) days prior to the expiration of the Initial Term or any Renewal Term. Term in this Agreement shall mean the Initial Term together with any Renewal Term(s) that are approved.

3.   **Services.** RSI hereby agrees to perform the services ("Services") during the Term as detailed in the RFP, the Proposal, Scope of Work and this Agreement. Services under this Agreement shall commence immediately upon execution of this Agreement by both Parties and the issuance of a Purchase Order.

4.   **Payment and Invoicing.** RSI shall bill the State for all amounts due in accordance with the Scope of Work. State shall pay approved invoices within thirty (30) calendar days after receipt of an invoice (unless a longer period shall be mandated by RIGL Section 42-11.1-5(b)). All invoices shall be mailed referencing the date and this Agreement to Mr. David M. Sullivan, Tax Administrator, Division of Taxation State of Rhode Island, One Capitol Hill 1st Fl., Providence, RI 02908. State shall pay the approved amount invoiced to RSI via ACH transfer.

5.   **Independent Contractor.** RSI shall perform its duties hereunder as an independent contractor and not as an employee, agent, officer, partner, joint venturer or associate of the State. Neither RSI nor any agent or employee of RSI shall be deemed to be an employee, agent, officer, partner, joint venturer or associate of the State or any agency or subdivision thereof. As an independent contractor, RSI shall have and maintain control over all of its employees, agents, subcontractors, suppliers, invitees, and operations.

6.   **Change Orders.** No changes to the scope or specifications of Services shall be made without the written consent of State, in the form of a revision of the Scope of Work. State, through David M. Sullivan, Tax Administrator, or his designee (hereafter "Executive Sponsor"), may at any time request changes to Services required under this Agreement. If such changes cause a material increase in RSI's cost or time required to provide Services under this Agreement, the Parties shall promptly and in good faith negotiate a price adjustment and this Agreement shall be modified by a written contract amendment. No change order for a price adjustment shall be processed for delays in obtaining hardware beyond the control of the State and such delay shall not be an event of default under this Agreement.

7.   **DOIT Change Management Procedures.** RSI shall follow the State's Division of Information Technology's ("DOIT's") Change Management Procedures attached hereto and made a part hereof as Exhibit 2, when and to the extent applicable under DOIT's regulations, for any hardware and software changes.

8.   **Laws, Regulations, Ordinances and Standard Practices.** RSI shall perform its obligations hereunder in compliance with any and all applicable federal, state, and local laws, ordinances and by-laws in effect at the time the Services are performed, including but not limited to "IRS Security Guidelines for Federal, State Local Agencies" as described in IRS Publication 1075 and applicable licensing and permitting requirements, in accordance with generally accepted professional and safety

standards, and in compliance with any and all reasonable rules or policies of the State relative to its property.

9. **Maintenance and Warranty.** RSI shall warrant the Services and any deliverables hereunder, and shall maintain the software provided hereunder, as set forth in the Scope of Work and the DiscoverTax License Agreement attached thereto.

10. **Representations and Warranties.** The representations and warranties of RSI set forth in the Proposal and Scope of Work are incorporated herein by reference as if set forth herein, and shall be deemed to have been made as of the date hereof.

11. **Indemnification.**

RSI shall indemnify, defend (if required by State and with Counsel reasonably acceptable to State), and hold State, its departments, agencies, branches and its or their officers, directors, agents, employees and assigns, ("Indemnitees") harmless from and against any and all claims, demands, suits, judgments, losses or reasonable expenses of any nature whatsoever (including actual reasonable attorney's Fees) ("Claim[s]") to the extent arising directly or indirectly in whole or in part from or out of RSI's Services to be performed under this Agreement, but not limited to:

(i)   Any negligent act or omission of RSI, its subcontractors, or the officers, directors, agents, employees of either;

(ii)   Bodily injury, including, but not limited to, bodily injury, emotional injury, sickness or disease, or death to persons, including, but not limited to, any employees or agents of RSI, State, or any independent contractor or subcontractor of either and/or damage to property of anyone (including loss of use thereof), caused or alleged to be caused by any negligent act or omission of RSI, or anyone directly or indirectly employed by RSI or anyone for whose acts RSI may be liable;

(iii)   Penalties imposed on account of the violation of any law, order, citation, rule, regulation, standard, ordinance or statute, caused by the action or inaction of RSI;

(iv)   Any negligent failure of RSI to perform its Services hereunder in accordance with generally accepted professional standards;

(v)   Any failure of RSI to comply with the insurance provisions of Section 19,

(vi)   Any breach of RSI's representations and warranties hereunder;

(vii)   Any failure of RSI to comply with the obligations required on its part to be performed hereunder; and

(viii) Any failure of RSI to comply with the confidentiality provisions of Section 16.

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The indemnification provisions of (i) through (viii) above shall extend to Claims occurring after this Agreement is terminated as well as while it is in force. Such indemnity provisions shall apply regardless of any active and/or passive negligent act or omission of any Indemnitee or any independent contractor or State. RSI, however, shall not be obligated under this Agreement to indemnify State for Claims arising from the negligence or willful misconduct of State or its agents, employees or independent contractors who are directly responsible to State. The indemnities set forth in this paragraph 11, shall not be limited by the insurance requirements contained herein. The provisions of this paragraph 11 shall survive the expiration or sooner termination of this Agreement.

Notwithstanding the provisions of this Section 11 or Section 11A below, the parties agree that neither party shall be liable to the other party for any consequential, indirect, or special damages of any kind or nature and that the aggregate liability of either party to the other under this Agreement or otherwise shall not exceed the aggregate of two times the Agreement price, meaning a total Four Million Two Hundred and Thirty-Four Thousand and 00/100 ($4,234,000) Dollars, plus any other fees or costs paid by the State to RSI hereunder.

11A. Copyright and Patent Protection.

A. RSI represents and warrants that it has legal title to any proprietary software used or incorporated into the system provided to State under this Agreement, or has the right from the legal owner(s) thereof to use, and to license use, to State. RSI agrees to defend State and hold State harmless from any claims, legal actions or proceedings asserted or brought against State based on alleged infringement of any patent, copyright, trade secret or any other proprietary right of any third party, by the equipment or any part thereof, any operating or service manuals, any documentation or any software program recommended, supplied or furnished by RSI; and RSI agrees to pay all settlement costs and all damages and costs awarded against State (including royalties assessed against State) arising out of such claims or legal actions. State shall promptly notify RSI in writing of any such claim of legal action brought or threatened and RSI shall be permitted to assume control of the defense and settle any negotiations. State shall have the right to be represented by counsel of its choosing, at State's own expense. At the request of RSI, State shall actively cooperate and assist RSI in the defense of any such claim or legal action. At the expense of RSI in the event RSI should fail to defend any such claim or legal action, State may, in addition to any other legal remedy which State may have, at its election, defend such claim or legal action and be reimbursed by RSI for its reasonable expenses and attorney's fees incurred in said defense.

B. In the event an injunction shall be obtained effective against the use of any equipment, hardware, software, or portion thereof recommended, supplied or furnished by RSI by reason of RSI's infringement of any patent, copyright, trade secret or other propriety right, RSI may, at its option and expense, either:
1. If obtainable at a reasonable price, procure for State, the right to use the equipment, hardware, software, ,part manual, etc;
2. Replace or modify the same in a manner that does not degrade the performance of the products and systems so that they/it become non-infringing; or
3. Repurchase any infringing equipment, hardware, software, ,part, manual, etc., at the price at which it was sold to State under this Agreement.

.C. RSI shall not have any liability to State under any provision of this clause if any infringement claim is based upon the use of any program or equipment or portion thereof, in combination with any program or equipment or part thereof not recommended, furnished or approved by RSI, or if the equipment or software is used in a manner for which they were not designed. .

12. Escrow of Source Code and License. Upon execution of the Agreement, RSI shall deposit with the State a CD for the Source Code and Documentation for the most recent version of Discover Tax. During the term of the Agreement and while the State continues to have a maintenance agreement with RSI, if there are any changes to the Source Code or Documentation that RSI considers a "major release" (i.e., a decimal-level upgrade in the version number), RSI shall promptly deposit with the State the updated Source Code and Documentation (together hereinafter "Source Code"). State shall have the right to access and use the Source Code in the event that: (i) the occurrence of any event or occurrence by or respect to RSI as detailed in Section 17.1.1.5 below; (ii) upon RSI's cessation of business or dissolution; or (iii) upon RSI's failure to reasonably support the DiscoverTax product for a continuous period of 60 days or more. Upon such event, RSI shall deliver, transfer, and grant to the State, without additional charge and free and clear of any third party liens, restrictions or encumbrances, a complete copy of all application and software, documentation and source code related thereto, and any other proprietary materials utilized in operating the Data Warehouse ("RSI Software"), but not software or documentation created by third parties and purchased by RSI (hereinafter "Third Party Software"), together with any software updates or upgrades made by RSI to RSI Software (all such RSI Software, documentation, source code, object code, and updates, but excluding Third Party Software are hereinafter collectively referred to as the "Software"), under a license to use the Software only in connection with operation of the Data Warehouse, in perpetuity, with rights to modify the source code and to create derivative works therefrom for the sole purpose of operating the Data Warehouse. RSI warrants it has the right to grant such license in the Software. License rights to Third Party Software shall be in the name of the State. Software that is Third Party Software and which is not transferable to the State shall be identified and described by RSI on a list accompanying the deposit of the Software from time to time. The State shall have the right to make additional modifications, upgrades, and enhancements to the Software, or to purchase or otherwise acquire such modifications, upgrades, and enhancements, as the State may see fit for the purposes of maintaining and operating the Data Warehouse.

13. License and Ownership. Upon the State's payment to RSI of the applicable license fees for the Software identified in Exhibit 3, the State shall be granted a nonexclusive, fully paid, perpetual, royalty free license in said Software on the terms set forth in DiscoverTax License Agreement referred to therein.

With respect to any custom software computer programs and/or source code developed specifically for the State as part of the Data Warehouse project under this Agreement, the work shall be considered "work for hire" and the State, not RSI or any subcontractor, shall have full and complete ownership of all software computer programs and/or source code so developed. RSI shall deliver to the State on a quarterly basis, or other basis acceptable to the State, in a form acceptable to State, any and all in-process software source code for all such software computer programs developed under this Agreement. This paragraph shall be deemed to extend to custom software only, and not to enhancements to the base product that RSI may make during the Term of this Agreement.

14.   **Program Team**. RSI agrees that during the Term, RSI's management services shall comply with the requirements as set forth in the RFP, Proposal and Scope of Work. RSI shall hire a qualified and experienced on-site Project Manager, which Program Manager must have the prior written approval of State. If the selected Project Manager is not performing to the State's satisfaction, RSI shall replace the Project Manager within a reasonable time after receiving notice from the State that a new Project Manager is required.   In the event an approved Project Manager must be changed or replaced, RSI must obtain the prior written approval of State of the subsequent Project Manager.

15.   **Continuity of Services.** RSI realizes that the Services under this Agreement are very important to the State and must be continued without interruption and that upon the Agreement's expiration or termination, a successor may continue them. RSI covenants in good faith to make an orderly transition of the Services and to perform any and all tasks in good faith that are necessary to preserve the integrity of the Data Warehouse. RSI shall make every reasonable effort to ensure that the transition will be performed in a professional and businesslike manner, and shall comply with the reasonable request and requirements of the State and any successor to accomplish a successful, seamless and unhindered transfer. If such transition services are outside the Scope of Work, State shall pay RSI a reasonable fee for such transition services.

16.   **Confidentiality.** RSI shall take security measures to protect against the improper use, loss and disclosure of any confidential information including, but not limited to,names, dates of birth, home and/or business addresses, social security numbers, tax data, Department of Revenue, State of Rhode Island or IRS data, it may receive or have access to under this Agreement, incorporating both security and privacy protection software. In the event of an unauthorized disclosure, loss or improper use of any such information, RSI will immediately notify State of such a breach, but in no event later than twenty-four (24) hours after RSI's knowledge of the unauthorized disclosure. Upon such breach, the State shall have the right for a third party security firm to perform an objective security audit at RSI's costs in accordance with recognized cyber security industry best practices. RSI agrees it, its employees, agents, subcontractors and invitees engaged in work under this Agreement shall sign a Non-Disclosure Agreement in the form attached hereto and made a part hereof as Exhibit 4.   In addition all, all laptops and thumb drives shall meet DoIT's encryption standards.

RSI expressly agrees and acknowledges that said personal data and/or information and/or database provided to and/or transferred to RSI by the State for the performance of this Agreement is the sole property of the State and shall not be unlawfully disclosed and/or used or misused and/or provided to any other individual(s), entity(ies) and/or party(ies) without the express written consent of the State. Further, RSI expressly agrees to forthwith return to the State any and all said data and/or information and/or database upon the State's written request and/or cancellation and/or termination of this Agreement.

17.   **Termination of this Agreement.**

17.1   TERMINATION BY THE STATE FOR CAUSE. The State shall have the right to terminate this Contract for cause, subject to cure, by providing written notice of termination

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to RSI. Such notice shall specify the time, the specific provision of this Agreement or "for cause" reason that gives rise to the termination, and, if susceptible to cure, shall specify reasonable appropriate action that can be taken by RSI to avoid termination of the Agreement. The State shall provide a specified period of time of up to sixty (60) calendar days, unless otherwise specified in this Agreement, for RSI to cure breaches and deficiencies of its performance obligations under this Agreement.

17.1.1 For purposes of Section 17.1, the phrase "for cause" shall mean:

17.1.1.1 Any material breach or evasion by RSI of the terms or conditions of this Agreement and its amendments, if any.

17.1.1.2 The material failure of RSI to meet the performance standards set out in the Scope of Work.

17.1.1.3 Upon written notice by the State to RSI with no opportunity to cure and with no further obligation if RSI materially breaches the amaintenance obligations specified in the Scope of Work and DiscoverTax License Agreement included in Exhibit 1.

17.1.1.3 The commission of fraud, misappropriation, embezzlement, malfeasance, significant misfeasance, or similar illegal conduct by RSI, its officers, directors that can be expected to have a material adverse effect on the Services.

17.1.1.4 Dissolution of RSI or forfeiture of RSI's corporate existence or good standing in Rhode Island without assignment to a successor acceptable to the State, in its sole discretion.

17.1.1.5 The occurrence of any of the following by or with respect to RSI:

17.1.1.5.1 Commencing or permitting a filing against it which isn't discharged within ninety days of a case or other proceeding seeking bankruptcy, liquidation, reorganization, or other relief with respect to itself or its debts under any bankruptcy, insolvency, or other similar law now or hereafter in effect; or filing an answer

admitting the material allegations of a petition filed
against it in any involuntary case or other proceeding
commenced against it seeking liquidation,
reorganization, or other relief under any bankruptcy,
insolvency, or other similar law now or hereafter in effect
with respect to it or its debts; or consenting to any such
relief or to the appointment of or taking possession by
any such official in any voluntary case or other
proceeding commenced against it seeking liquidation,
reorganization, or other relief under any bankruptcy,
insolvency, or other similar law now or hereafter in effect
with respect to it or its debts;

17.1.1.5.2   Seeking or suffering the appointment of a trustee,
receiver, liquidator, custodian or other similar official of
RSI's assets;

17.1.1.5.3   Making an assignment for the benefit of creditors;

17.1.1.5.4   Failing, being unable, or admitting in writing the inability
generally to pay its debts as they become due.

17.1.1.5.5   Taking any action to authorize any of the foregoing.

17.1.1.6   Intentional or negligent act or omission by RSI, or any
subcontractor, agent or invitee within the control of RSI
resulting in the disclosure of any Confidential Information as defined in
Section 16.

17.2. TERMINATION BY THE STATE WITHOUT CAUSE.

17.2.1   The State may terminate this Agreement at any time and without cause if
directed to do so by statute.

17.2.2   If required by State law, where the Director of the State Budget Office
makes a written determination that funds are not appropriated or otherwise
available to support continuation of this Agreement, the Agreement shall be
immediately cancelled. A determination by the State Budget Director that

funds are not appropriated or otherwise available to support continuation of the Agreement shall be final and conclusive.

17.3   TERMINATION FOR CAUSE BY RSI. RSI shall have the right to terminate this Agreement for cause, subject to cure, by providing written notice of termination to the State. Such notice shall specify the time, the specific provision of this Agreement or "for cause" reason that gives rise to the termination, and shall specify reasonable appropriate action that can be taken by the State to avoid termination of the Agreement. RSI shall provide a specified period of time of up to sixty (60) calendar days, unless otherwise specified in this Agreement, for the State to cure breaches and deficiencies of its performance obligations under this Agreement.

For purposes of Section 17.3, the phrase "for cause" shall mean:

17.3.1   Any material breach or evasion by the State of the terms or conditions of this Agreement and its amendments, if any.

17.4   RIGHTS UPON TERMINATION. Upon any termination of this Agreement for any reason, RSI shall be paid by State for any Services or deliverables accepted by State through the date of RSI's cessation of work hereunder.

18.   Financial Statements. On or before April 30th of each year of the Term, or as soon thereafter as available, RSI shall provide the State with financial statements certified by an independent public accounting firm, including a balance sheet, income statement and statement of cash flow and all applicable notes for the most recent calendar year, in accordance with generally accepted accounting principles. State shall hold in confidence and shall not disclose to any party other than State's employees on a need to know basis any of such financial statements or as required by law after notice to RSI.

19.   Insurance and Bond Requirements. Throughout the term of this Agreement, RSI shall procure and maintain, at its own cost and expense, and provide annually to the State certificates of insurance evidencing the following:

(i)   General comprehensive liability insurance policy with the following minimum coverage with respect to the Services and other operations performed pursuant to this Agreement by RSI pursuant to this and its employees agents, supplier's agents and invitees:

Bodily Injury and Property Damage	$1,000,000 each occurrence $1,000,000 annual aggregate
Products and Completed Operations	$1,000,000 each occurrence $1,000,000 annual aggregate
Contractual Liability and Property Damage	$1,000,000 each occurrence $1,000,000 annual aggregate

Independent Contractors	$1,000,000 each occurrence
	$1,000,000 annual aggregate
Personal and Advertising Injury	$1,000,000 each occurrence
	$1,000,000 annual aggregate

(ii)   Vehicle liability insurance with the following minimum coverage with respect to the operations of any employee, including coverage for owned, non-owned and hired vehicles and equipment:

Bodily Injury	$1,000,000 each occurrence
Property Damage	$1,000,000 each occurrence
Combined Single Limit	$1,000,000 per occurrence

(iii)   An Error and Omissions Policy or Professional Liability Policy in the amount of at least a $1,000,000 arising out of or resulting from the performance of Services under this Agreement with a date of inception prior to commencement of work and coverage to remain in full force and effect for thirteen (13) months after Project Acceptance.

(iv)   Workers compensation insurance for RSI as required by applicable federal and state law, including employer's liability.

(v)   The State of Rhode Island shall be listed as an additional insured on RSI's Liability Policies. RSI shall submit to the State a copy of the policy endorsement evidencing the State as an additional insured

(vi)   RSI agrees to a waiver of subrogation.

(vii)   Certificates of Insurance, acceptable to State, shall be submitted to State upon execution of this Agreement and shall be renewed upon expiration of the policies. Certificates shall indicate that the coverage required by this Section 18 is in effect. If the State is damaged by RSI's failure to maintain insurance, then RSI shall be responsible for all reasonable costs or damages attributable thereto. All policies shall be issued by companies authorized to write this type of insurance under the laws of the State of Rhode Island. Any and all deductibles, self insurance or self-insured retention contained in any insurance policy shall be assumed by and at the risk of RSI. Any such deductible, self-insurance or self-insured retention shall be reasonably acceptable to the State.

(viii)   RSI agrees to a waiver of subrogation.

(ix)   Notice of cancellation or alteration of any kind of insurance referenced above will be sent by the issuing company to State within thirty (30) days prior to cancellation. Failure of RSI to so notify the State shall constitute an event of default under this Agreement.

(x)   RSI shall provide the State with a performance bond in form reasonably acceptable to the State within thirty (30) days of the execution of this Agreement to cover the full term and value of the Agreement. In the event that RSI does not provide to State the performance bond to State within such thirty (30) day period, this Agreement shall be immediately terminated by the State without further notice to RSI and without any damage, cost or penalty to the State. Any performance bond shall be maintained in full force and effect until Final Project Acceptance.

20.   Notices. No notice, approval or consent permitted or required to be given by this Agreement will be effective unless the same is in writing and sent postage prepaid, certified mail or registered mail, return receipt requested, or by reputable overnight delivery service to the other party at the address set forth below, or such other address as either party may direct by notice given to the other as provided in this Section, and shall be deemed to be given when received by the addressee:

To State:

David M. Sullivan, Tax Administrator
Division of Taxation State of Rhode Island
One Capitol Hill
Providence, RI 02908
Fax number (401) 222-6006

With copy to:

RI Department of Administration
Division of Legal Services
One Capitol Hill – 4th Fl.
Providence, RI 02980

To RSI:

Revenue Solutions, Inc.
42 Winter St.
Pembroke, MA 02359
Attn: Christopher Barlow
Fax number (781) 826-1324

21. **Designated Representatives.** The persons named below are hereby designated as each party's representative for communication in matters pertaining to this Agreement. Any change in such designation shall be in writing, sent to the address set forth above. Notice of change in any designation shall be accomplished in the same manner.

For State:

Ms. Barbara Bisson
Administrator Management Information Systems
RI Department of Administration
Division of Information Technology
One Capitol Hill
Providence, RI 02908
Fax number (401) 222-3694
Telephone number (4010 222-6695

For RSI:

Mr. Paul Panariello
Revenue Solutions, Inc.
42 Winter St.
Pembroke, MA 02359
Phone: 781-826-1546
Email: ppanariello@rsimail.com

22. Subcontracting and Assignment. This Agreement shall not be assigned, transferred or subcontracted by RSI without prior written approval of State. Such approval shall not be effective unless the new party agrees to terms and conditions reasonably comparable to those provided for in this Agreement, to State's reasonable satisfaction. Nothing in this Agreement shall create any contractual relationship between RSI's subcontractor, employee, agent, invitee or supplier and the State. Approval by State of RSI's request to subcontract, assign or transfer, or acceptance of or payment for subcontracted, assigned or transferred Services by State, shall not relieve RSI of its responsibilities under this Agreement. RSI shall be and remain responsible and liable to State for the conduct, negligence, acts and omissions, whether intentional or unintentional, of RSI's subcontractors, employees, agents, invitees or suppliers.

State may assign this Agreement to another department or division within the State.

23. Amendment. Except as may otherwise be set forth in this Agreement, the Agreement may only be amended by the Parties agreeing to the amendment in a writing duly executed by the Parties.

24. Incorporation by Reference and Order of Precedence. The State Purchasing Act, the State Purchasing Regulations and the State of Rhode Island Office of Purchases General Conditions of Purchase are incorporated herein by reference, hereinafter collectively referred to as the State's General Conditions of Purchase. This Agreement consists of the following contract documents: (1) this Agreement, (2) the State's General Conditions of Purchase and Purchase Order, (3) the Scope of Work, (4) the Proposal, and (5) the RFP, all of which may be collectively referred to throughout this Agreement as the "contract documents." In the event any conflict shall arise among the provisions of the foregoing documents, said conflict shall be resolved by giving priority to the documents in the order set forth above.

25. Survival. Any obligations and provisions of this Agreement which by their nature, extend beyond the expiration or termination of this Agreement, including but not limited to safeguarding Confidential Information, shall survive the expiration or termination of this Agreement.

26. Waiver and Estoppel. Nothing in this Agreement shall be considered waived by any party, unless the party claiming the waiver receives the waiver in writing. No breach of the Agreement is considered to be waived unless the non-breaching party waives it in writing. A waiver of one provision will not constitute a waiver of any other. A failure of any party to enforce at any time any provisions(s) of this Agreement, or to exercise any option which is herein provided, shall in no way be construed as a waiver of such provision of this Agreement. No consent, waiver, or excuse by either party, express or implied, shall constitute a subsequent consent, waiver or excuse.

27. Applicable Law and Venue. This Agreement shall be governed by and shall be construed, without reference to conflict of law principles, according to the laws of the State of Rhode Island. Venue for any legal proceeding regarding this Agreement shall be the Superior Court in Providence County, Rhode Island.

28. Severability. If any provision of this Agreement shall be determined to be invalid or unenforceable under applicable law such provision shall, insofar as possible, be construed or applied in
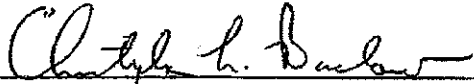
such manner as will permit performance; otherwise, this Agreement shall be construed as if such provision had never been a part hereof.

29. **Duplicate originals and counterparts.** This Agreement may be executed in any number of duplicate originals and each duplicate original shall be deemed an original. This Agreement may be executed in counterparts, each of which will be deemed an original, but all of which together will constitute one and the same instrument.

30. **Entire Agreement.** This Agreement contains the sole and entire agreement between the Parties, and supersedes any and all other agreements between them. The Parties acknowledge and agree that none of them has made any representation with respect to the subject matter of this Agreement or any representations inducing the execution and delivery hereof except such representations as are specifically set forth herein, and each party acknowledges that it has relied on its own judgment in entering into the Agreement. The Parties further acknowledge that any statements or representations that may have heretofore been made by either of them to the other are void and of no effect and that neither of them has relied thereon in connection with this Agreement or its dealings with the other.

IN WITNESS WHEREOF, the Parties execute this Agreement as of the date first set forth above.
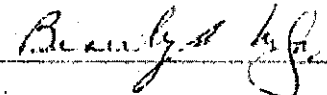
Revenue Solutions, Inc.

By: _____

Printed name: _____

Its: _____

Dated: ___October 2, 2007_____

State of Rhode Island and Providence Plantations
by and through the Department of Administration

By: _____

Printed name: _Beverly E. Najarian_____

Its: _Director and Chief Purchasing Officer_

Dated: _October 2, 2007_____

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such manner as will permit performance; otherwise, this Agreement shall be construed as if such provision had never been a part hereof.

29.   **Duplicate originals and counterparts.** This Agreement may be executed in any number of duplicate originals and each duplicate original shall be deemed an original. This Agreement may be executed in counterparts, each of which will be deemed an original, but all of which together will constitute one and the same instrument.

30.   **Entire Agreement.** This Agreement contains the sole and entire agreement between the Parties, and supersedes any and all other agreements between them. The Parties acknowledge and agree that none of them has made any representation with respect to the subject matter of this Agreement or any representations inducing the execution and delivery hereof except such representations as are specifically set forth herein, and each party acknowledges that it has relied on its own judgment in entering into the Agreement. The Parties further acknowledge that any statements or representations that may have heretofore been made by either of them to the other are void and of no effect and that neither of them has relied thereon in connection with this Agreement or its dealings with the other.

IN WITNESS WHEREOF, the Parties execute this Agreement as of the date first set forth above.

Revenue Solutions, Inc.

By: _____

Printed name: __**Christopher L. Barlow, CFO**__

Its: _____

Dated: ___October 2, 2007_____

State of Rhode Island and Providence Plantations
by and through the Department of Administration

By _____

Printed name __Beverly E. Najarian_____

Its: __Director and Chief Purchasing Officer__

Dated: __October 2, 2007_____

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Exhibit 1

Scope of Work

STATE OF RHODE ISLAND

State of Rhode Island
Division of Taxation
DEPARTMENT OF REVENUE

Data Warehouse Project:
RFP #7003414
Data Warehouse

Statement of Work

October 2, 2007

Submitted By:
Revenue Solutions, Inc. (RSI)
42 Winter Street
Pembroke, MA 02359
(Phone) 781.826.1546
(Fax) 781.826.1324

RSI
Revenue Solutions, Inc.

DISCOVERTAX

TABLE OF CONTENTS

1.0 DOCUMENT OVERVIEW

1.1 Introduction

The document that follows is a Statement of Work (SOW) detailing the specific tasks that Revenue Solutions, Inc. (RSI) will undertake as the Prime Contractor for work performed for the Rhode Island Department of Revenue (RI DOR or Agency). As used herein, the term RI DOR or Agency shall mean the State, unless the context otherwise requires. The SOW is intended to provide a detailed explanation of the specific work to be performed, as well as to assign responsibilities for the work to implement a compliance data warehouse solution for the State of Rhode Island. This SOW does not supercede any of the contractual agreements established between RSI and Rhode Island through the submission of the RSI proposal in response to RFP – Data Warehouse, Request for Proposal (RFP) #7003414, but rather, will be a change order to that proposal. Given the level of detail and different type of service being provided than originally agreed to, the SOW does clarify points not in the proposal. When the wording in the proposal is sufficient to clarify the scope, approach or pricing, it will be indicated as such in this SOW so as to not create duplication. The SOW supercedes the requirements outlined in the original RFP issued by Rhode Island and RSI's responses to those requirements during preliminary discussions with RI DOR about the scope of the warehouse. The RFP requirements and RSI responses have been included as Appendix E herein.

RSI considers this Statement of Work in its entirety to be RSI Proprietary / Confidential / Trade Secret. If allowed under RI public records laws, please redact prior to reproducing for distribution outside of Rhode Island Department of Revenue.

2.0 SOLUTION OVERVIEW

2.1 Solution Overview

The Solution Overview presented in Section 4.1 – Solution Overview of the RSI Technical Proposal remains unchanged. The Solution Overview incorporates the use of RSI's Commercial-Off-The-Shelf (COTS) tax data warehouse solution called DiscoverTax and SAS' Enterprise BI Server package – a leader in business intelligence ad hoc and online analytical processing (OLAP). These two proven COTS products, along with RSI's recommended technical architecture are being implemented as described. In terms of individual components, the following summary lists the proposed required and optional components so that RI DOR can see at a glance what is being provided by RSI:

Table 2-1 below summarizes the software components RSI recommended and included in its proposed bid price. These software components are considered to be required to meet the "Mandatory" requirements of the RFP.

Table 2-1. Solution Software Components - Mandatory

Application Component	Provider	Description	Number of Licenses Included in Bid Price
DiscoverTax Base Server	RSI	Includes server software for data transformation, warehouse build, data warehouse inquiry, systems utilities, security and administration of the base warehouse.	1 for Production and 1 for Development/Test environments
DiscoverTax Decision Support Server	RSI	Includes server software to support rule-based risk analysis, scoring and lead selection.	1 for Production and 1 for Development/Test environments
DiscoverTax Administrator	RSI	Includes client software (i.e., online screens) to perform administrative functions on the DiscoverTax application. Administrative functions include configuration of codes tables, parameters, users, security settings, and business rules used by the online and office processes.	5 for Production and 2 for Development/Test environments
DiscoverTax Web User	RSI	Includes web based end-user interface for all DiscoverTax server components licensed. This may include inquiry into the data warehouse, lead selection & review, case inventory management, and correspondence generation.	100 for Production and 20 for Development/Test environments
Enterprise BI Server with Dashboard Framework	SAS	SAS Business Intelligence – Base SAS, SAS Graph, Information Delivery Portal, Access tools for Microsoft Office, OLAP Server, Management Console, and more. Comes with full OLAP cubes and ability to use those in a web browser.	1 Enterprise installation to support all environments
Access to SQL Server	SAS	Provides access to SQL Server. Access engine to get data from DiscoverTax. This is a native access engine to SQL Server.	1 Enterprise installation to support all environments
SAS STAT	SAS	Statistical visualization package. Allows users to perform regression analysis.	1 Enterprise installation to support all environments
SAS ETS (Economic Time Series)	SAS	Tool for forecasting and simulation. Will be used to perform cost/benefit analysis, what if analysis, etc.	1 Enterprise installation to support all environments
SAS Enterprise Guide	SAS	This is a power user interface for the SAS product offering. It is a wizard driven component that gives users quick access to the SAS tools. SAS Enterprise Guide is a client based application that consolidates the tools being offered into one common user interface for the advanced analyst. .	20 User Seat Licenses to support all environments
Microsoft SQL 2005Server Enterprise Edition (with Partitioning)	Microsoft	Database management system for the data warehouse.	Microsoft software license for the recommended four (4) CPU database server

RSI also provides software components that meet the "Desirable" requirements of the RFP. These software components summarized in Table 2-2 below have been separated from the mandatory list because they <u>have not</u> been included in the proposed bid price and require a separate software license. These software components will not be installed in at the RI DOR.

Table 2-2. Solution Software Components - Desirable

Application Component	Provider	Description	Number of Licenses Included in Bid Price
DiscoverTax Case Manager Server	RSI	Includes server software for case management support of selected leads, including case creation, assignment, workflow, closure, and history.	None
DiscoverTax Correspondence Server	RSI	Includes server software to support the definition, generation, distribution (e.g., printing), and history of notices and correspondence.	None
DiscoverTax Audit Workbench	RSI	Includes both server and standalone client software to manage field audits. Provides ability to download audit case information, view audit case and taxpayer information, record basic audit information, including time spent on the case. Provides interface capability to read/write from audit application.	None
TaxMaster	RSI	Includes the PC-based field audit application to support standardization of forms, worksheets, reports and field audit results.	None

2.2 System Architecture

The recommended System Architecture presented in Section 4.5.2 – System Architecture of the RSI Technical Proposal remains unchanged. RSI has assumed that the RI DOR will procure and install the recommended system architecture represented in Section 4.5.2 and the related sub-sections. It is assumed that a production and pre-production environment are required and will be ready by 11/10/07.

The specifications for the pre-production environment (Development and Test) and the production environment are displayed in Tables 2-3 and 2-4 below. RSI will install DiscoverTax and SAS software in these environments once the environment is established and initial connectivity has been tested.

While the RFP details the solution to have three regions for Production, System Test, and Development; there will only be two physical architectures. Development and System Test regions will share the same architecture and all three regions will share the same Database Server.

Table 2-3. Recommended Hardware/System Software Configuration – Production

1	Type	Database Server	System Software
			Microsoft Windows 2003 Enterprise Server 64 Bit Architecture and 64 Bit Operating System Microsoft SQL Server 2005, partitioning SUN Java Virtual Machine
	Model	Dell P6850 3.0 GHz	Tomcat or JBoss
	Number of CPU	4 Xeon Processors	
	Memory	16 GB of RAM	
	Speed Of CPU	3.0 GHz	
	Number of Controllers	1	
	Internal HD	C: 120 GB for OS and Microsoft SQL Server 2005 D: As DVD-ROM	
	Network Interface Card	2 x PCI-X Gigabit NICs	
2	**Type**	**Batch Engine Server**	**System Software**
			Microsoft Windows 2003 Enterprise Server 64 Bit Architecture and 64 Bit Operating System SUN Java Virtual Machine
	Model	Dell P2950 2.66GHz	Tomcat or JBoss
	Number of CPU	4 Xeon Processors	
	Memory	8 GB of RAM	
	Speed Of CPU	2.66 GHz	
	Number of Controllers	1	
	Internal HD	C: 36 GB for OS D: 72 GB (minimum) E: As DVD-ROM	
	Network Interface Card	2 x PCI-X Gigabit NICs	
3	**Type**	**Application/Web Server**	**System Software**
			Microsoft Windows 2003 Enterprise Server 64 Bit Architecture and 64 Bit Operating System .NET Runtime Microsoft IIS 5.x
	Model	Dell P2950 2.66GHz	Tomcat or JBoss
	Number of CPU	2 Xeon Processors	
	Memory	4 GB of RAM	

	Type	RAID Storage	System Software
	Speed Of CPU	2.66 GHz	
	Number of Controllers	1	
	Internal HD	C: 36GB GB for OS D: 32GB (minimum) E: as DVD-ROM	
	Network Interface Card	2 x PCI-X Gigabit NICs	
4	Type	RAID Storage	System Software
	Model	HP EVA 5000	
	Disk Drives	TBD - Depending on storage needs (typically 12 physical spindles minimum)	
	Rack	TBD	
	Cables	Fibre	
	FC HBA	2Gb x 4 host based adapters	
	Switch	Fibre channel switch 2/16	
	Mgmt HW	TBD	
	SW	TBD	

Table 2-4. Recommended Hardware/System Software Configuration – Dev/Test

Type	Application/Web/ Batch Engine Server	System Software
Model	Dell P2950 2.66GHz	Microsoft Windows 2003 Enterprise Server 64 Bit Architecture and 64 Bit Operating System .NET Runtime Microsoft IIS 5.x Tomcat or JBoss
Number of CPU	2 Xeon Processors	
Memory	4 GB of RAM	
Speed Of CPU	2.66 GHz	
Number of Controllers	1	
Internal HD	C: 36GB GB for OS D: 32GB minimum E: as DVD-ROM	
Network Interface Card	2 x PCI-X Gigabit NICs	

RFP #7003414 - Data Warehouse SOW

3.0 IMPLEMENTATION APPROACH

3.1 Introduction

The Implementation Approach presented in Section 4.6 – Project Requirements (specifically pages 124-129) of the RSI Technical Proposal and further clarified in Section 4.4.3.1 – Business Requirements (specifically pages 55-59) has been changed slightly from what was originally detailed due to the acceptance by RI DOR of the first Innovative Concept proposed by RSI in the RSI Technical Proposal. This Innovative concept, found in Section 4.71. - Compliance Program Development Using DiscoverTax, discusses the use of DiscoverTax for value-added compliance programs that have significant return on investment (ROI). Based on these discussions, the implementation approach generally remains the same with the significant changes outlined in the sections below.

RSI proposes an implementation approach that focuses on two phases of delivery with on-going project management activities occurring over the life of the contract. The majority of activities will be completed in Phase A within a twelve (12) month period including the core data loading activities, deployment of core business intelligence (BI) functionality using SAS, and audit and collection risk score card development and implementation in DiscoverTax. Phase B will continue the data loading activities and provide additional BI and reporting functionality utilizing the additional data that is available within DiscoverTax. RSI is proposing that the data loading activities occur over the full duration of the project which will run for approximately twenty (20) months.

The justification for this approach is that the BI development will occur off the 'core' data loads (i.e. DOR & IRS data) that can be completed over a relatively short period of time. Most importantly, the project approach provides sufficient knowledge transfer and transition time so that the solution is adopted by DOR staff who will use the applications on a daily basis.

The time dedicated to the analysis and design of the data loading process are typically the longest duration tasks of a data warehouse/BI project. Extraction of data from disparate systems and establishment of a refresh process that can identify new or changed data is difficult to estimate without a strong understanding of the source systems. RSI will work with the DOR on each of the identified data sources to establish a suitable extraction approach (and refresh approach where appropriate). A strong working relationship between RSI staff and the DOR Working Groups will be required to extract this data in a suitable timeframe. However, with DiscoverTax being a COTS product, and the familiarity of RSI staff with the extraction issues on a wide variety of engagements, the duration of these data loading activities will be lessened in order to allow for more time for user acceptance testing and implementation. A significant portion of the requirements definition, design and development effort will surround conversion (ETL), interfaces and those areas of the application that will require configuration or customization of the baseline systems such as OLAP cube development, report and compliance program build out, such as tax calculation.

3.1.1 Project Management Activities

As a general rule, the integrated project team will work together to complete one phase (and the deliverable or deliverables in the phase) before moving onto the next phase. Minor overlapping between phases appears in the roadmap and detailed project plan due to the need to sequentially build out functionality as data is sequentially loaded into DiscoverTax. Lastly, it has been assumed for implementation purposes, that sign-off of a deliverable by the DOR does not need to occur before the team can mobilize on the next task or phase. Any deliverable review time or

deliverable approval time will be completed concurrently to the execution of the next task or phase.

The Project Management tasks will occur over the duration of the project, and are heavily focused at the start of the project on startup and installation activities. Startup activities include development of a project management plan consistent with the Project Management Institute (PMI) Project Management Professional (PMP) methodology, and installation related tasks to ensure the DiscoverTax and SAS tools are operational within the DOR environment.

The Project Management activities are expected to occur over the duration of the 20 month project. RSI is proposing the following deliverables as part of the Project Management Activities:

- Deliverable 1 - Project Management Plan
- Deliverable 2 – Security Plan
- Deliverable 3 - DiscoverTax Software License Signed
- Deliverable 4 - SAS Software Licenses Signed

Project Management which includes the Project Oversight tasks will shape the direction of the project and the evolution of the data warehouse. It will focus on ensuring that the correct decisions are being made and that the goals of the DOR are being met.

3.1.1.1 Deliverable 1 – Project Management Plan

Working with RI DOR staff, this task involves the work required to plan, monitor, report and administer the work to be carried out by the team while on the Project. These activities are aimed at setting expectations between the two parties to ensure a successful implementation. RSI has assumed that the majority of the procedures will be established between RSI and RI DOR collectively and will adopt these procedures while completing its work on the project. Collectively, there are several tasks/duties which constitute Project Management, including:

- Project Planning: The development of the task plans and resource assignments necessary to achieve the stated project goals.

- Task Management: The day-to-day management of task assignments including monitoring of resources and the schedule, task and resource adjustments and dependency coordination.

- Staff Management: The management of staff assignments, staff expectation setting, human resource management and staff communications.

- Quality Assurance: The development and maintenance of the quality assurance procedures and processes necessary to guarantee and maintain a high quality product. This includes development of the reporting tools necessary to track progress, identify project risks, and provide feedback to improve on existing deliverables.

- Progress Reporting: The process of reporting overall project progress to Project and Executive Management.

- Issue/Incident Resolution Planning: The creation of a plan on how to manage the processes related to issues, incidents and enhancements. This includes development of the tracking tools, prioritization mechanisms and escalation procedures.

- Test Plan: The creation of a Test Plan in accordance with current DoIT Guidelines.

- Training Plan: The creation of a Training Plan in accordance with current DoIT Guidelines.

- Acceptance and Completion Criteria. The Project Management Plan shall include a detailed description of the acceptance and completion criteria.

The agreed to plans/procedures will be formally documented into a Project Management Plan Deliverable. [RSI]

3.1.1.2 Deliverable 2 – Security Plan

Working with RI DOR staff, this task involves the work required to document the security plans, including laptop polices and development needs, for the project addressing confidentiality, integrity and availability of IRS and taxpayer data. It will provide needs and use documentation on the RI Data Warehouse Project for use in preparing an IRS brief, as well as provide a checklist of IRS Review Considerations for use by the RI IRS Liaison in preparing for an IRS audit.

The agreed to plans/procedures will be in accordance with DoIT's current guidelines and formally documented into a Security Plan Deliverable. [RSI]

3.1.1.3 Deliverable 3 – DiscoverTax Software License Signed

This deliverable represents the signed agreement for the installation and use of RSI's DiscoverTax software in the RI DOR technical environment. [RI DOR] Once the software license is signed, this will permit RSI to install and operate the mandatory application components presented in Table 2-1 Solution Software Components – Mandatory, in both a pre-production and production environment. Signing the license agreement constitutes the purchase of the DiscoverTax software including all embedded third party software. Once the software license is signed, RSI will work with RI DOR staff to install and assembly test the DiscoverTax application on the RI DOR defined hardware, operating system and RDBMS. DiscoverTax including all embedded and purchased third-party software will be installed by RSI.   RSI will assist the RI DOR in the installation of the RDBMS. RSI will take reasonable steps to configure site specific parameters and to test both the connectivity and operability of the COTS solution within the operating environment. Detailed steps include:

- Install Hardware, OS, network infrastructure [RI DOR]
  - Refer to technical architecture diagram prepared by RSI and reviewed by RI DOR. The installation is dependent on this being procured and installed in both a pre-production and production environment.
- Install DiscoverTax [RSI]
  - Install SQL Server
    - RSI needs to be involved in SQL Server setup
    - Finalize database table sizing estimates
  - Install 3rd Party Software (3 packages) [RSI]
  - Install DTAX [RSI]
    - Configure security, general tables
    - Test on RI Operating System
- On-going, On-site Environment Technical Support [RI DOR]
- Periodic upgrades of the DiscoverTax software during the contract term. [RSI]

3.1.1.4 Deliverable 4 – SAS Software Licenses Signed

This deliverable represents the signed agreement for the installation and use of SAS's proposed application components in the RI DOR technical environment. [RI DOR] This deliverable represents the signed agreement for the RI DOR to install and operate the mandatory application components presented in Table 2-1. Solution Software Components – Mandatory, being provided by SAS in a single environment. Signing the license agreement constitutes the purchase of the SAS software. Once the software license is signed, RSI will work with RI DOR staff to install and assembly test the SAS application on the RI DOR defined hardware, operating system and RDBMS. RSI will take reasonable steps to configure site specific parameters and to test both the connectivity and operability of the COTS solution within the operating environment. Detailed steps include:

- Install SAS [RSI]
  - Finalize database table sizing estimates
  - Configure security, general tables
  - Test on RI Operating System
  - Verify connectivity to DiscoverTax
- On-going, On-site Environment Technical Support [RI DOR]

3.1.2 Phase A

RSI understands the importance of "early wins" on a project of this scope. Phase A is focused primarily on the sequential loading of data sources early in the project in a prioritized fashion that will maximize the use of the data warehouse early in the project. This effort will be focused on achieving the 1st stated goal of the project:

1. Create an environment where all information used by the Division of Taxation is centralized and standardized with updates to the data from a variety of data sources

In RSI's experience, the foundation of the data warehouse must be the DOR tax system data. After this data is loaded, external data (IRS, other agency data) is loaded to build out the taxpayer portfolios. By the end of the Phase A data loading activities, 75-80% of the data volume will be loaded into DiscoverTax. End users will have access to the production DiscoverTax environment as the data is being loaded to see how the taxpayer portfolios are built out after each subsequent load. The data loaded in Phase A also represents the standard data that is typically used for BI reporting, compliance program development and selection and scoring purposes. In a change from the proposal, **Phase A has been expanded to include an IRMF compliance program that will be developed and implemented in DiscoverTax.**

In Phase A, the focus of the phase will be on the loading of the following 'core' data sources, in the following order:

- Income Tax Load (3 yrs)
- IMF/IRTF EY2005
- W2 Load (3 yrs)
- Motor Vehicle Licensing
- IRMF TY2004 - **(Added to Phase A to be used in the Phase A IRMF compliance program.)**
- Business Tax Load (3 yrs)
- Income Tax Collections Load
- Business Tax Collections Load
- Corporate Tax Load (3 yrs)
- Field Audit Load (3yrs)
- Field Audit History Load (3yrs)
- Misc. Tax Types (3 yrs) **(Moved to Phase B to allow for time to develop the Phase A IRMF compliance program.)**
- **BMF/BRTF TY2005 (Removed from scope due to addition of IRMF data load and IRMF compliance program. Back in scope due to removal of DLT Employee File. Moved to Phase B as replacement of DTL)**
- Motor Vehicle Licensing (3 yrs) **(Moved to Phase A to be used in the Phase A IRMF compliance program.)**

One additional benefit of the Phase A approach is that it will provide all the data necessary to produce the Statistics of Income Tax Report (Section 44-30-1.2) in advance of the March 15, 2008 due date for the report. In addition to producing this report, RSI is proposing the development of one OLAP cube in Phase A. This cube will be available in production in advance

of the main tax Individual Income Tax processing season, so that it can be used operationally while processing tax year 2007 returns.

Phase A will expose end users to the easy-to-use interfaces within DiscoverTax and the SAS tools and will have a heavy focus on knowledge transfer and training in the tools. By working on an OLAP cube and compliance program with RSI, it is our hope that, rather than just providing tools and data, that knowledge transfer will occur and RI DOR will be in a better position to use the tools and data. RSI has a library of compliance programs that it is willing to share with RI. For many reasons (and our experience knows this is the case), most are not "out of the box" and require tailoring for the environment – tax computation changes, selection rules, output, etc. RSI will recommend the program(s) and provide the designs from other sites. In the Innovative Concepts Section, RSI proposes to implement the IRMF non-filer program which has been extremely successful at other sites as the "home run" referred to at the bidder's conference.

Phase A will also involve the tasks required to develop a Collections risk scorecard and an Audit Lead Selection scorecard. SAS BI tools will be leveraged to produce the necessary scorecards and they will be implemented within DiscoverTax on both the Collections and Audit case management data that has been loaded into DiscoverTax in this phase. The end result will be implemented scorecards for both Collections and Audit that can be utilized by the Q&A and mainframe collections systems to prioritize the case inventories. Our scorecards for collections and audit which are part of the base bid and built by an experienced collection modeler will be "home runs" as well for RI Taxation. RSI will produce an output file from DiscoverTax that can be used by the Department to invoke changes to the treatment strategies.

RSI is proposing that the DOR first focus on Individual Income Tax data loads. This is not only to ensure the generation of the Statistics of Income Tax Report on time in 2008 and the dashboard, but to also provide the foundation to expose the DOR to the tools to do a non-filer compliance program pilot using the matching tools within DiscoverTax. These activities involve the training and knowledge transfer necessary to expose the DOR to how a non-filer program involving the IMF/IRTF data sources from the IRS, the DOR Income Tax data from the mainframe, and W-2 data could be developed. In RSI's experience, this program has a high ROI potential and can provide some immediate financial benefit to the DOR. RSI has used this approach successfully in Massachusetts, Connecticut and New Mexico to prove to key stakeholders that the investment in DiscoverTax is warranted and also builds interest in the further compliance program opportunities. Full implementation services for this program are included in the Proposal Innovative Concepts Section. This compliance program would help the DOR meet the stated project goal of:

> 3. Increas(ing) tax revenue by allowing users to find inconsistencies in tax filings and assess additional taxes:

This also reduces the risk of an implementation that only exposes the application to the end-users once it is ready to be deployed. This can be discussed while finalizing the work plan.

The Phase A tasks are expected to occur over an 11 month period. RSI is proposing the following Deliverables be produced in Phase A:

- Deliverable 5 - Data Load #1
- Deliverable 6 - Data Load #2
- Deliverable 7 - Data Load #3
- Deliverable 8 - Data Load #4
- Deliverable 9 - Data Load #5- #6 (Collection Data Load)
- Deliverable 10 - Data Load #7
- Deliverable 11 - Data Load #8

- Deliverable 12 – Data Load #9-#10 (Field Audit Data Load)
- Deliverable 13 - Data Load #11
- Deliverable 14 - Case Scoring Implementation
- Deliverable 15 - Phase A OLAP Cube/Reports
- **Deliverable 16 - IRMF TY 2004 Compliance Program (Deliverable added since RSI Technical Proposal was submitted)**

The Deliverables are tied to particular data loads in the WBS presented in Appendix A

3.1.2.1 Deliverable 5 – Data Load #1

3.1.2.1.1 Income Tax Load – 3 Most Recent Tax Years (Initial Load)

Working with RI DOR staff, this task involves a review of available data sources, requirements definition for the mapping of the selected data sources to AIF staging tables, requirements definition for the mapping of data in AIF staging tables to Data Warehouse tables, and the execution of ETL (Extract, Transformation, Load) transformations and DiscoverTax's A&G module into both the AIF staging tables and Data Warehouse tables. This task will be repeated for each selected data source in the Phase A data source list in Section 3.12 above.

For each of the mentioned data source loads, the assumption has been made that only data sources listed in Table B-1 – Data Sources of the RSI Technical Proposal will be examined for inclusion in the respective data source load. For example, for the Income Tax Load only the following data source names will be considered for extraction (Income Tax 1040-H Address File, Income Tax Credit File, Income Tax Electronic Filing File, Income Tax History Credit File, Income Tax History Name Cross Reference File, Income Tax History Spouse SSN File, Income Tax History Tax File, Income Tax License Account Receivable File, Income Tax Name Cross Reference File, Income Tax Refund YTD File, Income Tax Spouse SSN File, Income Tax Taxpayer File and Income Tax Return File).

This task includes duties associated with:

- Define and Approve Data Field Mapping, Cleansing & Parsing: The process of analyzing the data source to determine how individual fields will be moved to corresponding fields in both the AIF staging tables and Data Warehouse tables. A data source is defined as a unique file for a given tax year that is accessible in ASCII format to the DiscoverTax application. The RSI/RI DOR team will work together to first identify which fields need to be translated into the data warehouse, and then determine what transformations need to occur to move them to the AIF staging area and Data Warehouse tables. If an AIF table does not exist to support the loading of source data, or contains insufficient columns to support the data mapping from the source file, new requirements for AIF tables and/or columns will be identified within reason to maintain the core software. Additional columns will not be viewable in standard DTAX windows (only by query). If updated data from particular data sources need to be periodically refreshed to the data repository, refresh requirements are identified and incorporated into the requirements definition. [RSI/RI DOR]
  - o For all data source extracts being provided by the RI DOR, it is desirable that the file definitions be consolidated and made available to RSI prior to the start of the corresponding data loading activities. Additionally, if existing extracts from source files can be leveraged, this is an ideal approach rather than attempting to reinvent the

process. (e.g., if existing Income Tax extracts exist for the NESTOA Clearinghouse work, these should be leveraged for the Data Warehouse work.)

- Develop Extraction and Refresh Approach: The extract of data from the Legacy Income Tax system must be created based on the requirements defined in the step discussed above. RSI will lend support to this effort by providing best practices learned on other sites. Part of this task will involve the need to define a standard source file specification and to provide both sample extracts, and the delivery of a final data extract for each source in time for RSI staff to begin the load process development work. [RI DOR]
    o The process for extracting the data will vary by data source. RSI will be dependent on DOR resources familiar with the source systems for extracting the data and providing external source data, in ASCII format, to RSI for loading. Additionally through design sessions, RSI staff will work with DOR staff knowledgeable in current processes, the data and what it represents, and desired functionality to develop creative solutions that will meet the requirements. [RSI/RI DOR]

- Configure ETL Map & Transformations: The process of first incorporating new data model requirements into the AIF and Data Warehouse data models, and secondly to configure the transformers to accept data from the source file into the DiscoverTax system. This process includes any necessary cleansing, parsing or standardization of the data as well as code table value updates within the data warehouse to increase the readability of the data. For pre-defined data mappings such as those for several of the IRS tapes, validation of the existing data mappings is performed. As individual transformers are modified to accept RI DOR specific data sources, they will be unit tested by RSI configuration resources. [RSI with RI DOR support]

- Test Source to AIF Load and Test A&G: The process of testing the ETL functions as well as the Associate and Grow (A&G) offline process on a selected data source. In the ETL process, automated scripts are run to read the source files, transform the data as required, and finally to load successful records to the AIF tables. In the A&G process, an offline process is initiated to translate the data in the AIF tables to the Data Warehouse tables. Error handling, data accuracy validation, and data source refresh procedures are also tested in this task. This effort will be undertaken on a limited number of records from the source file in order to test the end to end process. RI DOR involvement in the validation process will be required to ensure that the appropriate taxpayers are associated, grown or added to the Research queue. [RSI, with RI DOR working on procedure development on how to work taxpayers who suspend to the research queue.]

- Run Source to AIF Load and A&G in Production: The process of executing the ETL and A&G processes on the full set of records for a unique data source in the production environment. Completion of this task is provided through run reports which summarize the number of records extracted from the source files/tables, the number of records loaded to the AIF staging tables, and the number loaded to the Data Warehouse tables. RI DOR involvement in the validation process will be required to ensure that the appropriate taxpayers are associated, grown or added to the Research queue. For deliverable purposes, validation by RI DOR of the run reports for a unique data source will signify completion of the requirements for the deliverable. Separate run reports will be generated for the source to AIF table load, and the AIF table to Data Warehouse table load for a particular data source. [RSI with RI DOR validation]

If it is deemed more appropriate to load the Income Tax financial data through stored procedures, this will be performed by RSI in a similar manner to the direct loads described below for the Income Tax Collections Data Load.

3.1.2.1.2 Income Tax Load – 3 Most Recent Tax Years (Refresh)

Once the initial demographic and financial data has been loaded, a process needs to be put in place such that the data in the warehouse can be "refreshed" as data changes in the Legacy Income Tax system. Each of the data loading tasks follows a similar set of steps as those listed above. The detailed descriptions have been excluded from the subsequent data loading sections in order to avoid repetition. The steps in involved in this task as well as responsibilities for the steps will continue to be listed.

- Define & Approve Data Field Mapping, Cleansing & Parsing. Should be same as one-time conversion. Need to discuss frequency of refreshes. [RSI/RI DOR]
- Develop Extraction and Refresh Approach. Includes RI DOR approach to identify new or changed records only on the refresh extract. [RSI/RI DOR]
- Configure ETL Map & Transformations
  - Configure ETL Mapping [RSI]
  - Configure Match Keys [RSI]
  - Update Primary Indicator [RSI]
- Test Source to AIF Load and Test A&G (include partial mock runs)
  - Load into DTAX (test mode) [RSI]
  - Document Research Resolution Approach [RSI/RI DOR]
  - Test Primary Indicator [RSI]
- Run Source to AIF Load and A&G in Production
  - Load into DTAX (production) [RSI]
  - Resolve Research. "Research" records are the input source records that could not be associated or grown into the warehouse. [RI DOR responsibility as it generally includes data purification decisions].
    - Automatic data purification: Where possible and reasonable, RSI will support research analysis and release of items through automated means (usually by modifying the A&G thresholds, no more than 20 hours assumed). [RSI]
    - Manual data purification: [RI DOR]
  - Run Primary Indicator [RSI]

3.1.2.2 Deliverable 6 – Data Load #2

3.1.2.2.1 IRS Individual Data IMF/IRTF EY 2005 (One Time Load)

Building of the individual tax entities continues with the loading of IRS data into the warehouse. IRS data from the EY2005 tape will be loaded for the form types corresponding to the same three tax years as was loaded for the Income Tax Load. The last year loaded will be used in the IRMF compliance program. The steps and proposed owners include:

- Agree on Mappings using RSI Standard IRS mappings [RSI/RI DOR]

- Build ASCII Extract from Mainframe Tapes [RI DOR]
  - RI DOR to provide source in ASCII format.

- o RSI has assumed that RI means both the IRTF by State Code and IMF by State Code. The IRTF cannot be received without the IMF due to the IMF containing the demographic data for the taxpayer.
- o RSI has assumed that only the IMF by SSN tickler file needs to be loaded and not the IRTF by SSN tickler file. RSI will write an ETL that combines the IMF by State Code with the IMF by SSN to remove duplicates before combining the one IMF file with the IRTF by State Code into the IMF/IRTF 2005 ETL.

- **Configure ETL Map & Transformations**
  - o Configure ETL Mapping [RSI]
  - o Configure Match Keys [RSI]

- **Test Source to AIF Load and Test A&G** include partial mock runs)
  - o Load into DTAX (test mode) [RSI]
  - o Document Research Resolution Approach [RSI-RI DOR]

- **Run Source to AIF Load and A&G in Production**
  - o Load into DTAX (production) [RSI]
  - o Resolve Research. "Research" records are the input source records that could not be associated or grown into the warehouse. [RI DOR responsibility as it generally includes data purification decisions].
    - ▪ Automatic data purification: Where possible and reasonable, RSI will support research analysis and release of items through automated means (usually by modifying the A&G thresholds, no more than 20 hours assumed). [RSI]
    - ▪ Manual data purification: [RI DOR]

3.1.2.3 Deliverable 7 – Data Load #3

3.1.2.3.1 RI – W2 Data - 3 Most Recent Tax Years (One Time Load & Refresh)

Building of the individual tax entities continues with the loading of RI W2 data. An initial load will be performed, and subsequently only new or changed data will be loaded to DiscoverTax. Current data is assumed to be maintained on the Withholding Tax W2 Employer File and Withholding Tax W2 Employer File which will be refreshed into DiscoverTax. The steps and proposed owners include:

- **Define & Approve Data Field Mapping, Cleansing & Parsing.** One mapping will be created to handle initial and refresh loads. Need to discuss frequency of refreshes. [RSI/RI DOR]
- **Develop Extraction and Refresh Approach.** Includes RI DOR approach to identify new or changed records only on the refresh extract. [RSI/RI DOR]
- **Configure ETL Map & Transformations**
  - o Configure ETL Mapping [RSI]
  - o Configure Match Keys [RSI]
- **Test Source to AIF Load and Test A&G** (include partial mock runs)
  - o Load into DTAX (test mode) [RSI]
  - o Document Research Resolution Approach [RSI/RI DOR]
- **Run Source to AIF Load and A&G in Production**
  - o Load into DTAX (production) [RSI]
  - o Resolve Research. "Research" records are the input source records that could not be associated or grown into the warehouse. [RI DOR responsibility as it generally includes data purification decisions].

- Automatic data purification: Where possible and reasonable, RSI will support research analysis and release of items through automated means (usually by modifying the A&G thresholds, no more than 20 hours assumed). [RSI]
- Manual data purification: [RI DOR]

3.1.2.3.2 RI – W2 History Data - 3 Most Recent Tax Years (One Time Load)

The W2 Data will be supplemented by the historical data found on the W2 history files. Historical data from the W2 history files will be loaded once for the three most recent tax years. It will only be done once since newer data is assumed to be maintained on the Withholding Tax W2 Employer File and Withholding Tax W2 Employer File which will be refreshed into DiscoverTax. The steps and proposed owners include:

- Define & Approve Data Field Mapping, Cleansing & Parsing. One mapping will be created to handle initial and refresh loads. [RSI/RI DOR]
- Develop Extraction and Refresh Approach. Includes RI DOR approach to only identify historical records not previously provided to DiscoverTax on the RI – W2 Data load. [RSI/RI DOR]
- Configure ETL Map & Transformations
    - Configure ETL Mapping [RSI]
    - Configure Match Keys [RSI]
- Test Source to AIF Load and Test A&G (include partial mock runs)
    - Load into DTAX (test mode) [RSI]
    - Document Research Resolution Approach [RSI/RI DOR]
- Run Source to AIF Load and A&G in Production
    - Load into DTAX (production) [RSI]
    - Resolve Research. "Research" records are the input source records that could not be associated or grown into the warehouse. [RI DOR responsibility as it generally includes data purification decisions].
        - Automatic data purification: Where possible and reasonable, RSI will support research analysis and release of items through automated means (usually by modifying the A&G thresholds, no more than 20 hours assumed). [RSI]
        - Manual data purification: [RI DOR]

3.1.2.4 Deliverable 8 – Data Load #4

3.1.2.4.1 Motor Vehicle Licenses - 3 Most Recent Tax Years (One Time Load)

Building of the individual tax entities continues with the loading of Motor Vehicle License data. An initial load will be performed to assist in providing nexis information to the IRMF Compliance Program. It is assumed that either RI DOR already has access to this data, or can obtain a file in advance of it being needed by RSI per the WBS. The steps and proposed owners include:

- Define & Approve Data Field Mapping, Cleansing & Parsing. [RSI/RI DOR]
- Develop Extraction Approach. [RI DOR]
- Configure ETL Map & Transformations
    - Configure ETL Mapping [RSI]
    - Configure Match Keys [RSI]
- Test Source to AIF Load and Test A&G (include partial mock runs)
    - Load into DTAX (test mode) [RSI]

      o   Document Research Resolution Approach [RSI/RI DOR]
- <u>Run Source to AIF Load and A&G in Production</u>
  - o   Load into DTAX (production) [RSI]
  - o   Resolve Research. "Research" records are the input source records that could not be associated or grown into the warehouse. [RI DOR responsibility as it generally includes data purification decisions].
    - ▪ Automatic data purification: Where possible and reasonable, RSI will support research analysis and release of items through automated means (usually by modifying the A&G thresholds, no more than 20 hours assumed). [RSI]
    - ▪ Manual data purification: [RI DOR]

3.1.2.5 Deliverable 9 – Data Load #5

3.1.2.5.1 IRS Individual Income Data IRMF TY 2004 (One Time Load)

Building of the individual tax entities continues with the loading of IRS data into the warehouse. IRS data from the TY2004 tape (for forms with an SSN only) will be loaded for the form types corresponding to the same three tax years as was loaded for the Income Tax Load. The last year loaded will be used in the IRMF compliance program. The steps and proposed owners include:

- <u>Agree on Mappings using RSI Standard IRS mappings</u> [RSI/RI DOR]

- <u>Build ASCII Extract from Mainframe Tapes</u> [RI DOR]

- <u>Configure ETL Map & Transformations</u>
  - o   Configure ETL Mapping [RSI]
  - o   Configure Match Keys [RSI]

- <u>Test Source to AIF Load and Test A&G</u> include partial mock runs)
  - o   Load into DTAX (test mode) [RSI]
  - o   Document Research Resolution Approach [RSI-RI DOR]

- <u>Run Source to AIF Load and A&G in Production</u>
  - o   Load into DTAX (production) [RSI]
  - o   Resolve Research. "Research" records are the input source records that could not be associated or grown into the warehouse. [RI DOR responsibility as it generally includes data purification decisions].
    - ▪ Automatic data purification: Where possible and reasonable, RSI will support research analysis and release of items through automated means (usually by modifying the A&G thresholds, no more than 20 hours assumed). [RSI]
    - ▪ Manual data purification: [RI DOR]

3.1.2.6 Deliverable 10 – Data Load #6-7

Deliverable 10 involves the loading of historical and current Collections Data for both Individual and Business Tax for the three most recent tax years into DiscoverTax for purposes of Collections modeling. The same years used in previous data loads will be loaded to ensure a consistent taxpayer profile for the years that will be modeled.

3.1.2.6.1 Income Tax Collections Data Load - 3 Most Recent Tax Years

RSI will support the loading of Income Tax Collections Data into the warehouse. This will be used in the Collections Modeling activities. The assumption has been made that one set of stored procedures will be written that will perform the initial load of current Collections data and that through the user of date parameters can identify new/changed records for the purpose of refreshing data into DiscoverTax. (i.e. there will not be a full replacement of Collections Data in DiscoverTax each time a refresh is required.) The tasks and responsibilities include:

- Develop Extraction and Refresh Approach [RSI/RI DOR]
- Design and Develop System Triggers in Legacy System to identify new or changed records (if required) [RSI/RI DOR]
- Build file downloads from source; link should be an internal id which will link the Collections data to the taxpayer portfolio. [RSI/RI DOR]
- Build new tables in DiscoverTax [RSI]
- Design Stored Procedures for straight loads (no staging or A&G) to DiscoverTax [RSI]
- Develop and Test Stored Procedures. [RSI]
- Client Validation of Test Data in DiscoverTax. [RI DOR]
- Run data source into Production [RSI]
-

3.1.2.6.2 Business Tax Collections Data Load - 3 Most Recent Tax Years

RSI will support the loading of Business Tax Collections Data into the warehouse. This will be used in the Collections Modeling activities. The assumption has been made that one set of stored procedures will be written that will perform the initial load of current Collections data and that through the user of date parameters can identify new/changed records for the purpose of refreshing data into DiscoverTax. (i.e. there will not be a full replacement of Collections Data in DiscoverTax each time a refresh is required.) The tasks and responsibilities include:

- Develop Extraction and Refresh Approach [RSI/RI DOR]
- Design and Develop System Triggers in Legacy System to identify new or changed records (if required) [RSI/RI DOR]
- Build file downloads from source; link should be an internal id which will link the Collections data to the taxpayer portfolio. [RSI/RI DOR]
- Build new tables in DiscoverTax [RSI]
- Design Stored Procedures for straight loads (no staging or A&G) to DiscoverTax [RSI]
- Develop and Test Stored Procedures. [RSI]
- Client Validation of Test Data in DiscoverTax. [RI DOR]
- Run data source into Production [RSI]

Ideally one set of stored procedures will be developed that can be used for both individual and business tax taxpayers.

An assumption made by RSI when scheduling this Business Tax Collections Data Load is that it is not dependent on the loading of Corporate Tax Data or Misc. Tax Type Data. If this is an incorrect assumption, the WBS will need to be adjusted.

3.1.2.7 Deliverable 11 – Data Load #8

Deliverable 10 is similar to Deliverable 1, but involves the tasks required to perform an initial load of Business Tax data, and the subsequent refresh of that data into the warehouse. Rather than reiterate the detailed tasks involved for this data load, only the summary level tasks and

responsibilities are described. The number of tax types included on the Business Tax Load and Business Tax Refresh will be restricted to the top 3 tax types selected by RI DOR. Also, the most recent 3 years of data, corresponding to the same three years loaded for the Income Tax Load will be loaded.

3.1.2.7.1 Business Tax Load – 3 Most Recent Tax Years (Initial Load)

This task includes duties associated with:

- Define & Approve Data Field Mapping, Cleansing & Parsing. [RSI/RI DOR]
- Develop Extraction and Refresh Approach. [RSI/RI DOR]
- Configure ETL Map & Transformations
  - Configure ETL Mapping [RSI]
  - Configure Match Keys [RSI]
  - Update Primary Indicator [RSI]
- Test Source to AIF Load and Test A&G (include partial mock runs)
  - Load into DTAX (test mode) [RSI]
  - Document Research Resolution Approach [RSI/RI DOR]
  - Test Primary Indicator [RSI]
- Run Source to AIF Load and A&G in Production
  - Load into DTAX (production) [RSI]
  - Resolve Research. "Research" records are the input source records that could not be associated or grown into the warehouse. [RI DOR responsibility as it generally includes data purification decisions].
    - Automatic data purification: Where possible and reasonable, RSI will support research analysis and release of items through automated means (usually by modifying the A&G thresholds, no more than 20 hours assumed). [RSI]
    - Manual data purification: [RI DOR]
  - Run Primary Indicator [RSI]

3.1.2.7.2 Business Tax Load – 3 Most Recent Tax Years (Refresh)

Once the initial demographic and financial data has been loaded, a process needs to be put in place such that the data in the warehouse can be "refreshed" as data changes in the Legacy Income Tax system. Each of the data loading tasks follows a similar set of steps as those listed above. The detailed descriptions have been excluded from the subsequent data loading sections in order to avoid repetition. The steps in involved in this task as well as responsibilities for the steps will continue to be listed.

- Define & Approve Data Field Mapping, Cleansing & Parsing. Should be same as one-time conversion. Need to discuss frequency of refreshes. [RSI/RI DOR]
- Develop Extraction and Refresh Approach. Includes RI DOR approach to identify new or changed records only on the refresh extract. [RSI/RI DOR]
- Configure ETL Map & Transformations
  - Configure ETL Mapping [RSI]
  - Configure Match Keys [RSI]
  - Update Primary Indicator [RSI]
- Test Source to AIF Load and Test A&G (include partial mock runs)
  - Load into DTAX (test mode) [RSI]
  - Document Research Resolution Approach [RSI/RI DOR]

- o Test Primary Indicator [RSI]
- Run Source to AIF Load and A&G in Production
  - o Load into DTAX (production) [RSI]
  - o Resolve Research. "Research" records are the input source records that could not be associated or grown into the warehouse. [RI DOR responsibility as it generally includes data purification decisions].
    - Automatic data purification: Where possible and reasonable, RSI will support research analysis and release of items through automated means (usually by modifying the A&G thresholds, no more than 20 hours assumed). [RSI]
    - Manual data purification: [RI DOR]
  - o Run Primary Indicator [RSI]

If it is deemed more appropriate to load the Business Tax financial data through stored procedures, this will be performed by RSI in a similar manner to the direct loads described above for the Income Tax Collections Data Load.

3.1.2.8 Deliverable 12 – Data Load #9

Deliverable 11 is similar to Deliverable 1, but involves the tasks required to perform an initial load of Corporate Tax data, and the subsequent refresh of that data into the warehouse. Rather than reiterate the detailed tasks involved for this data load, only the summary level tasks and responsibilities are described. The most recent 3 years of data, corresponding to the same three years loaded for the Income Tax Load will be loaded.

3.1.2.8.1 Corporate Tax Load – 3 Most Recent Tax Years (Initial Load)

This task includes duties associated with:

- Define & Approve Data Field Mapping, Cleansing & Parsing. [RSI/RI DOR]
- Develop Extraction and Refresh Approach. [RSI/RI DOR]
- Configure ETL Map & Transformations
  - o Configure ETL Mapping [RSI]
  - o Configure Match Keys [RSI]
  - o Update Primary Indicator [RSI]
- Test Source to AIF Load and Test A&G (include partial mock runs)
  - o Load into DTAX (test mode) [RSI]
  - o Document Research Resolution Approach [RSI/RI DOR]
  - o Test Primary Indicator [RSI]
- Run Source to AIF Load and A&G in Production
  - o Load into DTAX (production) [RSI]
  - o Resolve Research. "Research" records are the input source records that could not be associated or grown into the warehouse. [RI DOR responsibility as it generally includes data purification decisions].
    - Automatic data purification: Where possible and reasonable, RSI will support research analysis and release of items through automated means (usually by modifying the A&G thresholds, no more than 20 hours assumed). [RSI]
    - Manual data purification: [RI DOR]
  - o Run Primary Indicator [RSI]

3.1.2.8.2 Corporate Tax Load – 3 Most Recent Tax Years (Refresh)

Once the initial demographic and financial data has been loaded, a process needs to be put in place such that the data in the warehouse can be "refreshed" as data changes in the Legacy Income Tax system. Each of the data loading tasks follows a similar set of steps as those listed above. The detailed descriptions have been excluded from the subsequent data loading sections in order to avoid repetition. The steps in involved in this task as well as responsibilities for the steps will continue to be listed.

- Define & Approve Data Field Mapping, Cleansing & Parsing. Should be same as one-time conversion. Need to discuss frequency of refreshes. [RSI/RI DOR]
- Develop Extraction and Refresh Approach. Includes RI DOR approach to identify new or changed records only on the refresh extract. [RSI/RI DOR]
- Configure ETL Map & Transformations
    - Configure ETL Mapping [RSI]
    - Configure Match Keys [RSI]
    - Update Primary Indicator [RSI]
- Test Source to AIF Load and Test A&G (include partial mock runs)
    - Load into DTAX (test mode) [RSI]
    - Document Research Resolution Approach [RSI/RI DOR]
    - Test Primary Indicator [RSI]
- Run Source to AIF Load and A&G in Production
    - Load into DTAX (production) [RSI]
    - Resolve Research. "Research" records are the input source records that could not be associated or grown into the warehouse. [RI DOR responsibility as it generally includes data purification decisions].
        - Automatic data purification: Where possible and reasonable, RSI will support research analysis and release of items through automated means (usually by modifying the A&G thresholds, no more than 20 hours assumed). [RSI]
        - Manual data purification: [RI DOR]
    - Run Primary Indicator [RSI]

If it is deemed more appropriate to load the Corporate Tax financial data through stored procedures, this will be performed by RSI in a similar manner to the direct loads described above for the Income Tax Collections Data Load.

3.1.2.9 Deliverable 13 – Data Load #10-11

Deliverable 12 involves the loading of historical and current Field Audit Data for Business Tax Types for the three most recent tax years into DiscoverTax. The same years used in previous data loads will be loaded to ensure a consistent taxpayer profile for the years that will be modeled.

3.1.2.9.1 Field Audit Archive Data Load – 3 Most Recent Tax Years

RSI will support the loading of Field Audit Archive Data into the warehouse. The assumption has been made that one set of stored procedures will be written that will perform the one time load of historical Field Audit data into DiscoverTax. The tasks and responsibilities include:

- Develop Extraction and Refresh Approach [RSI/RI DOR]
- Build file downloads from source; link should be an internal id which will link the Field Audit data to the Collections Data and taxpayer portfolio. [RSI/RI DOR]

- Build new tables in DiscoverTax [RSI]
- Design Stored Procedures for straight loads (no staging or A&G) to DiscoverTax [RSI]
- Develop and Test Stored Procedures. [RSI]
- Client Validation of Test Data in DiscoverTax. [RI DOR]
- Run data source into Production [RSI]

3.1.2.9.2 Field Audit Data Load - 3 Most Recent Tax Years

RSI will support the loading of current Field Audit Data for the three most recent tax years into the warehouse. The assumption has been made that one set of stored procedures will be written that will perform the initial load of current Field Audit data and that through the user of date parameters can identify new/changed records for the purpose of refreshing data into DiscoverTax. (i.e. there will not be a full replacement of Field Audit Data in DiscoverTax each time a refresh is required.) The tasks and responsibilities include:

- Develop Extraction and Refresh Approach [RSI/RI DOR]
- Design and Develop System Triggers in Legacy System to identify new or changed records (if required) [RI DOR]
- Build file downloads from source; link should be an internal id which will link the Collections data to the taxpayer portfolio. [RSI/RI DOR]
- Build new tables in DiscoverTax [RSI]
- Design Stored Procedures for straight loads (no staging or A&G) to DiscoverTax [RSI]
- Develop and Test Stored Procedures. [RSI]
- Client Validation of Test Data in DiscoverTax. [RI DOR]
- Run data source into Production [RSI]

Ideally one set of stored procedures will be developed that can be used for both historic and current field audit data.

An assumption made by RSI when scheduling this Field Audit Data Loads is that it is not dependent on the loading of Misc. Tax Type Data. If this is an incorrect assumption, the WBS will need to be adjusted.

3.1.2.10   Deliverable 14 – Case Scoring Implementation

3.1.2.10.1 Collections Scoring Model Development

At this time it is assumed that the collections scorecard will be a general model designed to predict the likelihood of repayment, based on an evaluation of historical collections case data, but this is negotiable. This deliverable has two main work products:

- First, a comprehensive report describing the collections model developed by the project, including the definition and description of the analysis database utilized for the analysis, the modeling process followed, and the performance table for the model.

- Second, the implementation module will be developed. This will enable the collection department to load a data extract for either the entire tax population, a selected subset of that population, or just those cases entering collections on a given day. Scores, treatment assignments, etc., can then be automatically produced. Aside from extracting the necessary data for use in DiscoverTax, the RI DOR will not have to do any further work in order to produce the prioritized list – simply loading an updated data extract will automatically lead to

those cases being scored by the appropriate model and decisioned for collections. Delivery of this module will include all necessary training in its use.

For collections, RSI has allocated 40 days (or 350 hours) for this effort. Project tasks include the following:

- Kick-off meeting. [RSI-RI DOR]
  - o The purpose of this meeting is to determine and finalize the focus of the model, and to develop the judgmental model. Definitions of 'good' and 'bad' performance will be determined. Typically in collections the performance definition of a 'good' case is one that pays in full, or otherwise resolves, within a period of six months. The set of attributes to be included in the model will be determined.
  - o This is an ideal opportunity to involve collectors in the model development process, to gain their valuable input as well as their buy-in to the use of scoring.
  - o Any outstanding data issues can also be settled at this time, based on the data extracts to be requested in advance. For example, discussion in the kick-off meeting could lead to the conclusion that additional data is required. This additional data could be specified at this time.
  - o Finally, implementation issues will be discussed and the final form of implementation determined. Implementation can be in either Microsoft Access or Microsoft Excel or a file which RI DOR can update in their collections system. The specific approach can be confirmed during the kick-off meeting.
- Analysis, Development and Testing of Model [RSI-RI DOR]

This step comprises:

  - o An initial, joint analysis and design (JAD) session will be held with collectors to obtain their input regarding important ratios to include in the analysis. [RSI-RI DOR]
  - o For collection projects, several JAD sessions may be held with collectors to develop treatment scenarios. Each treatment scenario will be designed for a different level of risk, or probability of collection. For example, low-risk treatments may be designed to allow low-risk cases to self-cure, with minimum intervention from collectors. On the other hand, a high-risk scenario may be designed to accelerate high-risk cases into enforcement collections as soon as possible, while also providing due process. It is assumed that the DOR would be responsible for implementing the treatment scenarios in their collection system. [RSI-RI DOR]
  - o Creation of the analysis database. [RSI]
  - o Initial analysis of the data to determine which of the variables in the database are predictive of collections performance [RSI]
  - o Correct categorization of each attribute in the model, to ensure that performance varies across each attribute category. In addition, if any of the original model attributes are not predictive they may be replaced at this time with attributes that are predictive. [RSI]
  - o Calibration of the model attributes based on known performance to determine the points to be assigned by each attribute range. [RSI]
  - o Creation of a performance table to determine the forecast probabilities associated with each score. [RSI]
  - o Configuration of model in DiscoverTax. [RSI]
  - o Development of output file including unique legacy identifier, score, and treatment strategy indicator. [RSI]

- o Development of treatment scenarios in Collection System, including workflow configuration, collector assignment modifications and/or modifications to noticing requirements. [RI DOR]

- • Implementation [RSI-RI DOR].
    - o The project will include the development of a model implementation module in a technology to be determined in the kick-off meeting, likely Microsoft Access or Excel or a file which RI DOR can update in their collections system. This module will be designed to readily accept an updated data extract containing all the necessary variables required for scoring. To this extent, finalization of the module cannot be completed until the attributes to be included in the model are finalized.
    - o Scoring functionality will be incorporated into this module. This functionality will be able to evaluate each attribute for each potential case, determine which attribute range the attribute falls into, assign the appropriate points for that attribute, and then total all the points assigned for all attributes in the model to obtain the final score. [RSI]
    - o A collection implementation will produce a recommended collection treatment assignment and a yield for each collection case. The recommended treatment assignment will include the results of the earlier JAD sessions as well as an analysis of the score results to determine the score cut-off values that will define each risk-category. 'Yield' represents the forecast statistical value of each case. It is derived by multiplying the balance owed by the probability of collection. For example, a case owing $1,000 and with a probability of being collected of 80% would have a yield of $800. Sorting work lists in descending order of yield ensures that the most collectible dollars are worked first. [RSI]
    - o The completion of this activity will be marked through the generation of the first Gateway file of scored collections cases that is made available to the RI DOR Collection System. [RSI]
    - o RSI will not be responsible for the processing of the identified leads in the RI DOR Collection System. [RI DOR]

- • On-going Modeling Management [RI DOR]
    - o After the initial scoring of active collections cases, any new collections cases will need to be scored based on a triggering event using a repeatable process. RSI will perform knowledge transfer to the RI DOR on how to identify the 'triggering event' (i.e. new case) and the evaluation of the model at runtime, and then the direction of the case to specific or treatments based on the model score and additional strategy rules.
    - o All subsequent feeds of the scores and/or treatment strategies to the Collection System will be the responsibility of the RI DOR.
    - o All subsequent updates to the scoring and/or treatment strategies will be the responsibility of the RI DOR.

3.1.2.10.2 Audit Lead Selection Model Development

This development and implementation of the sales and use tax audit selection project is focused on the deployment of audit selection models for sales and use tax audits and the associated business rules. The models will be developed based on data available in DiscoverTax. Business rules associated with the selection of sales and use tax audit candidates will be elicited through JAD (joint analysis and design) sessions. Both models and business rules for two tax types (sales and use tax) and one audit case type/case sub type will be deployed through DiscoverTax, leveraging the value of that data repository.

The tasks and responsibilities involved with creating this model include:

- Compilation of Business Rules Used in Audit Lead Selection [RSI/RI DOR]
    - Through a series of JAD (Joint Analysis and Design) sessions business rules currently used for audit lead selection will be identified and documented. These, together with rules identified by RSI staff familiar with indicators of success from previous implementations will form the basis for the implementation of sales and use tax audit lead selection business rules in DiscoverTax. When used in conjunction with the audit lead selection models, these rules will ensure that selected cases will correctly meet RI DOR'S specification.
    - Initially, one JAD session will be held. If necessary, a second will be scheduled to ensure that all appropriate rules are identified. The scope of the modeling effort will be fully defined through the JAD sessions.
    - This exercise focuses primarily on the identification and documentation of actual business rules used in the selection of audit cases. It may be that during the JAD sessions additional analysis attributes are defined. If so, those attributes will be included in the analysis if they can be derived using existing data.
    - Appropriate DRS personnel will be made available to participate in the JAD sessions. [RI DOR]
    - Audit Selection will be developed using the DiscoverTax Scoring Engine and Selection Tools. [RSI]
        - Mutually agreed upon selection rules will be defined [RSI/RI DOR]
        - Iterations to sub-divide the initial selection population will be managed by the RI DOR. RSI will be in a support roll at that time.
    - For Audit Selections, leads will be downloaded to excel. No automated case function is envisioned.
- Completion of the Audit models [RSI]
    - Completion of the derived audit selection models. This includes configuration of the DiscoverTax Selection and Scoring components to identify audit leads.
    - All tasks performed during this task will be related to developing models for sales and use tax audit lead selection. Appropriate DRS personnel will be made available to work with the RSI modeling team to review results on an ongoing basis to ensure that all models developed are appropriate to DRS's requirements.
    - This initial implementation will be made in the pre-production environment. Appropriate RI DOR personnel will be made available to provide technical guidance to questions that may arise during this task.
- Testing and Handover [RSI/RI DOR]
    - Testing, report preparation and handover. This deliverable includes testing of the DiscoverTax audit selection and scoring implementation – including user acceptance testing, knowledge transfer to selected RI DOR audit selection management personnel, and finalization of all reports.
    - On the technical side, this exercise is limited to testing the implemented models and business rules in DiscoverTax. It does not include testing of other DiscoverTax functionality, except to determine that there are no unintended impacts to DiscoverTax functionality arising from this implementation.
    - Appropriate DRS personnel will be made available to receive the training in how to use the new selection functionality and to perform the user acceptance testing. This should include both technical and business users. The training format will be on-the-job knowledge transfer.
- Implementation [RSI]

- o RSI will migrate the tested DiscoverTax configuration from the pre-production to production environment.
- RI DOR Use of Scorecards [RI DOR]
  - o RSI has assumed that the use of the selection results related to the Audit modeling will be the responsibility of the RI DOR. This includes any systematic changes to the Q&A database and/or existing systems to store the scores and related attributes or to invoke audit case creation within those systems.

Due to the potential scope issues that arise when analyzing Audit data, the effort to design, build and test the Audit models will be limited to 280 hours of RSI time.

3.1.2.11 Deliverable 15 – Phase A OLAP Cubes/Reports

3.1.2.11.1 OLAP Cube 1 – Individual Income Tax Returns Processing

This task involves the use of Income Tax Data in the DiscoverTax warehouse to support the generation of an Individual Income Tax Return processing statistics OLAP cube using the SAS BI Tools. The scope below does not contain details for the OLAP cube, rather, that detail will be provided during the design phase of this task.

- Design 1 Individual Income Tax Returns Processing OLAP Cube [RSI/RI DOR]
  - o A JAD session will be held to define current success metrics, current reports and the future wish list of data points that the RI DOR would like to see in the OLAP cube.
  - o RI DOR personnel must be able to define their key report metrics that align with the data requested for loading.
- Build 1 OLAP Cube. [RSI]
  - o It is anticipated that the cube will providing a dashboard focused on Individual Income Tax Return processing trends. This cube will be available in production in advance of the main Individual Income Tax processing season, so that it can be used operationally during tax season.
  - o A single cube for a single tax type (Individual Income) will be developed. It will be developed for the current tax years data (likely TY2007) for the two most common form types processed by the RI DOR.
  - o RI DOR will be responsible for the development of additional views to denormalize the data structures for particular data mart reporting. [RI DOR]
- Provide Tools Training – OLAP [RSI]
  - o This will constitute on-the-job knowledge transfer regarding the development of the cube and the querying of the cube using SAS tools.
- Build and Test Refresh of Income Tax Data[RSI]
- Refresh cube [RSI]

Due to the potential scope issues that arise when developing an OLAP cube, the effort to design, build and test the OLAP cube will be limited to 300 hours of RSI time.

3.1.2.11.2 Statistics of Income Tax Report

This task involves the use of the SAS Tools to generate the components of the Statistics of Income Tax Report that can reasonably be generated from the data loaded into the DiscoverTax database.

The tasks and responsibilities involved with creating the data for this report include:

- JAD Sessions & Design [RSI/RI DOR]
  - o RSI received a copy of the Statistics of Income Report from the RI DOR after submission of the Proposal. Therefore, without understanding the true scope RSI had allocated 258 hours in the WBS to providing assistance in generating the Statistics of Income Tax Report. Therefore RSI will work within this constraint to provide as much summary data analysis that is possible within that allotment to produce the Statistics of Income Report.
  - o RSI and the RI DOR will work together to prioritize the components of the report that can be reasonably generated using the data loaded into DiscoverTax by the time Design work begins on the report.
  - o If more data is made available into DiscoverTax after the start of design that is used in the generation of the report, it is assumed that the RI DOR will be responsible for the necessary work to design, develop and test the requirements related to the data.
- BI Report Development [RSI]
  - o RSI will make its best effort to produce the report in SAS in the format currently used for the report. However, if subsequent manipulation of the data is required to get it into the required format, this will be the responsibility of the RI DOR.
- Test [RSI]
- Production Run [RSI]
  - o RSI had originally assumed in the Technical Proposal that the Statistics of Income Tax Report could be generated prior to the March 15, 2008 deadline for the 2007 report. However, this assumption was made assuming a July 1, 2007 start to the project. Therefore it is assumed that the data necessary for the 2008 report will be generated using the SAS tools.

3.1.2.12   Deliverable 16 – IRMF Compliance Program

To demonstrate how DiscoverTax can be used for individual non-filer compliance programs, an IRMF non-filer program will be conducted as soon as possible in the project.

The program will identify the individual entities with one or more TY 2004 IRMF income records that have not filed a federal Individual Income Tax return with a RI mailing address for the 2004 tax year, or a Rhode Island Individual Income Tax return for the 2004 tax year and where their proposed tax calculation exceeds a predefined net tax due. The program will calculate the detailed line item information and produce a RI-1040 using available data sources and will use this information to target Individual Income Tax non-filers.

The first component of the Tax calculation will compute the Federal Adjusted Gross Income (line 1 of the RI-1040), and using that amount as a starting point for the RI-1040, compute subsequent line items (line 2-22) to arrive at a refund/tax due amount. RSI has pre-defined rules from other states that will simplify the effort to identify the Tax Calc rules in RI, however they will need to be customized for RI. Those warehouse entities that meet the predefined tax due threshold will be manually selected for further processing. The Gateway interface functionality within DiscoverTax will be used to pass selected information back to the RI Income Tax System for subsequent processing. Any Department-generated return, assessment or refund required as a result of the lead identification will be recorded in the RI Income Tax System by the RI DOR in order to trigger billing and/or refund processing. The program will compute penalties and interest and store this information as part of the Tax Calc. A series of filtering criteria (SQL) will be applied sequentially to the entire population to identify sub-populations that fall into distinct groupings that will be pursued in the RI legacy system. Individual sub-populations of non-filers along with detailed RI-1040 line item data used to derive a proposed assessment will be stored in DiscoverTax.

The tasks and responsibilities involved with creating this compliance program include:

- Configure Primary Indicator [RSI]
    - Define and Configure Primary Indicator Rules
    - Test Primary Indicator
    - Run Primary Indicator in Production
- Configure Lead Selection [RSI]
    - RSI will perform a lead selection process which identifies the entities in the warehouse that will have the IRMF tax calc (as well as future TaxCalcs the Department may choose to implement for tax year 2004) executed on them. This is necessary in order to maintain the potential leads in an organized manner, as well as preventing any redundancy in running different TaxCalcs for the same year on the same entities. This will be custom SQL that will be written for RI DOR.
- Configure TaxCalc [RSI]
    - RSI will provide the baseline TaxCalc rules and the developed code that is used in Connecticut as a starting point for developing a RI specific IRMF non-filer TaxCalc. These will be provided to the Department at least one week before the required due date of the 'Finalized TaxCalc Rules' so that the Department has sufficient time to validate the calculations to be performed. RSI will code and test a baseline tax calc for resident non-filers which involves calculating line items from the IRMF as identified in the current business rules. If the data sources are not available for 2004 (e.g., State W2 and Motor Vehicle Licenses files), the logic will simply be bypassed in the calculation. RSI will run TaxCalc against the Individual entities in both the development and production environments. After the completion of the project, the Department may choose to configure different TaxCalcs for different groups of taxpayers (e.g. resident vs. non-resident, Federal 1040 filing vs. no Federal 1040 filing) and to also consider whether sufficient confidence exists with the TaxCalc to perform an automatic posting of the estimated return to the Income Tax System. Lastly, based on RSI's experience, taxpayer feedback after the initial mailing of non-filer notices often identifies changes to TaxCalc. All modifications to the baseline TaxCalc after initial mailings are issued and piloted will be the responsibility of the Agency.
- Population Management [RSI]
    - The program management component of the project plan assumes that logical groupings (i.e. sub-populations) of similar taxpayers will be managed by the Department. RSI will provide documentation and suggestions from previous implementations that are recommended sub-populations for the Department to use. One of the populations will be identified within DiscoverTax by RSI to provide an initial set of prioritized leads that the Department should pursue in production. Overall management of the leads and configuration of subsequent sub-populations is a Department responsibility. For example, if 50,000 leads are identified by Selection, the Department may want to segregate those that have a RI W-2 from those that don't, or might segregate those individuals in the military from those that aren't. After an initial sub-population is identified, it is up to the Department to determine how many records are passed through the Gateway to the Income Tax System, and in what order they are passed. These decisions are highly dependent on how subsequent collections processing will occur since individual sub-populations may need specialized expertise to resolve the inbound correspondence or telephone calls that can result from noticing. Due to the potential overruns in time spent on sub-population management, RSI has allocated 40 hours of project time to sub-population management. Any additional sub-

population required will be the responsibility of the Department, and will likely need to occur after the results of initial mailings occur.

- Design, Develop and Test Case Flow in Legacy Collection System (if required) [RI DOR]
  - o The case flow will be designed by the Department, and can be reviewed by RSI. It is assumed that if different populations require different case flows, these additional case flows will be configured by the Department. Creation and assignment of cases will be performed within the Legacy Collection System. If RSI's Case Manager component is licensed by RI, the case flows can be configured within DiscoverTax.
- Modify Legacy Income Tax System to accept RI-1040 file from DiscoverTax [RI DOR]
  - o Any modifications required in the tax system to accept and process the leads from DiscoverTax will be the responsibility of the RI DOR.
- Design, Develop and Test Notices/Correspondence in Legacy System (if required) [RI DOR]
  - o Correspondence templates will be defined by the Department. Merging of estimated assessment data provided by RSI on the Gateway interface into notice templates within the Collection System will be the responsibility of the Agency. Returned post office mail and regeneration of notice templates will be the responsibility of the Department. It is assumed that all letters will be sent to a local printer for printing, stuffing and mailing by Department staff. No integration with State Printers for mass-mail generation is currently planned for in this program.
- Gateway Interface [RSI]
  - o RSI assumes that the DTAX Gateway process will be used to pass assessment information to the Income Tax System. Department personnel will decide which selection results will become cases and result in a manual assessment being posted to the Income Tax System. This may be a labor intensive process given the number of leads expected from this program. RSI's effort will be focused on providing the necessary data used to calculate the assessment/adjustment on a standard interface layout agreed to with the RI DOR. RI DOR will be responsible for processing leads off the agreed to interface table/file into the Income Tax System or Collection System for subsequent processing. The subsequent recording of benefits attributed to the program should be considered by the Department when deciding on how to post the leads or process the returns and/or payments received.
- Report Generation [RI DOR]:
  - o The Department has not requested that any reports be developed that provide summary level information on the compliance program
- On-going Program Management [RI DOR]:
  - o There will be on-going tasks that need to be performed by the Department to manage the leads that are identified from this program. As mentioned previously, the Department should not underestimate the time required to perform sub-population management, handle returned post office mail, handle taxpayer inquiries, generate and mail notices, perform Tax Calc modifications, perform workflow balancing and post assessment/refunds/payments back to the Income Tax System. These are very labor intensive activities that will impact the Department after the production implementation is complete.

3.1.3 Phase B

RSI is proposing a separate Phase B that is primarily focused on the further consolidation of Agency data into one central repository, as well as meeting the second and fourth project goals:

2. Provide the end users with an easy-to-use interface to access information and build savable reports and queries.

4. Provide tools to allow DOR the ability to study various tax policy options and perform revenue trend analysis and reporting.

The data loading resources will continue to focus on loading the agreed to data sources to the warehouse and refining the refresh process. The DOR staff may choose to run repeat data source loads into DiscoverTax using the skills gained in Phase A. RSI resources will be available on-site during Phase B to assist in DOR managed data loads and further perform knowledge transfer activities.

RSI will focus Phase B on the loading of the following data sources:

- Misc. Tax Types (3 yrs) **(Moved to Phase B to allow for time to develop the Phase A IRMF compliance program.)**
- Motor Vehicle Licensing (3yrs) **(Moved to Phase A to be used in the Phase A IRMF compliance program.)**
- Motor Vehicle Registrations (2005)
- DET/DLT Employer Data (2005) – **Removed from scope due to addition of IRMF data load and IRMF compliance program.**
- DET/DLT Employee Data (2005) – **Removed from scope due to no availability of data, replaced by BRTF**
- BMF/BRTF (2005)
- State of RI Vendor Database (3yrs) – **Removed from scope due to addition of IRMF data load and IRMF compliance program.**
- US Customs Data (2005) - **Removed from scope due to addition of IRMF data load and IRMF compliance program.**

In RSI's experience, RSI resources are best utilized for the loading of 'new' data sources to the data warehouse. DOR resources, armed with on-the-job training, instructor led training and documentation can assume ownership of repeat data loads and refreshes. By the end of the Phase B data loading activities, the remaining 20-25% of the data volume will be loaded into DiscoverTax. This data will represent the foundation for the further build out of the BI reporting functionality, including the trend analysis, cost/benefit analysis, forecasting and most importantly, the Tax Expenditures Report (Section 44-48.1-1)

Ability to forecast revenue trends, and build tax scenarios (e.g. if Rhode Island adjusted its sales tax rate what impacts would occur to sales tax revenue?) It is assumed by RSI that the majority of these analysis requests come from the State Budget Office and varies each legislative session. Therefore it is important to finalize the types of questions that will be required to be answered by the BI tools during either contract negotiations or during project startup activities.

In addition to building out standard and ad hoc reports and general BI capabilities in Phase B, RSI has included the generation of the Tax Expenditure Report. The justification for producing this report in Phase B is to ensure that sufficient data has been loaded into DiscoverTax to provide the majority of the data points used in the generation of the report. The heavy focus of

the report on Personal Income Tax, Sales and Use Tax, Business Corporation Tax and the Miscellaneous Tax Preference Items will require the majority of the Phase A data and potentially some Phase B data be available in production before it is generated. This Phase will involve a phase out of existing procedures used by the Revenue Analyst – Research and a significant knowledge transfer component to ensure a smooth adoption of the new tools.

The Phase B tasks are expected to occur over an 11 month period. RSI is proposing the following Deliverables be produced in Phase B:

- Deliverable 16 - Data Loads #12-#13 – **Replaced by Phase A Deliverable 16 - IRMF TY 2004 Compliance Program**
- Deliverable 17 - Data Loads #12-14
- Deliverable 18 - Phase B BI/Reports
- Deliverable 19 - DiscoverTax Training Execution/Training Material Delivery
- Deliverable 20 - DiscoverTax Documentation Delivery

The Project Approach in this section touches on the high-level activities that will occur within each Phase. Readers are encouraged to review the detailed Work Breakdown Structure (WBS) in Appendix C for additional information regarding RSI and DOR roles in this process, the key dependencies and the detailed timeline of activities.

The remainder of this section outlines the major tasks, responsibilities and assumptions for the work effort in each Phase.

3.1.3.1 Deliverable 17 – Data Loads #12-14

Deliverable 17 involves the loading of the remaining data sources outlined in the project plan.

This initial loads for this deliverable are similar to Deliverable 1, but involves the tasks required to perform an initial load of Miscellaneous Tax data, and the subsequent refresh of that data into the warehouse. Rather than reiterate the detailed tasks involved for this data load, only the summary level tasks and responsibilities are described. The number of tax types included on the Miscellaneous Tax Load and Miscellaneous Tax Refresh will be restricted to a reasonable number from those listed in RSI's Technical Proposal (i.e. Pari-Mutuel Betting, Insurance, IFTA Licenses/Bonds, Gasoline. Cigarette, Tobacco Products, Bank Deposits, Public Service Gross Earn, Realty/Mobile Home, Bank Excise, Underground Storage Tank, Estate Tax, Auto Rental Surcharge, Gaming Withholding, Uniform Oil Response Prevent, Alcohol Beverage Import Fee, Alcohol Beverage A/R, Hospital Licensing Fee, Liquor Agent License, Alcohol Beverage Mfg Tax, Alcohol Wholesale License). The tax types to be included should be based on the volume of records on each file, and the relevance of the tax type to any BI reporting requirements. None of these tax types are assumed to be needed for compliance program work. Also, the most recent 3 years of data, corresponding to the same three years loaded for the Income Tax Load will be loaded.

3.1.3.1.1 Miscellaneous Tax Load – 3 Most Recent Tax Years (Initial Load)

This task includes duties associated with:

- Define & Approve Data Field Mapping, Cleansing & Parsing. [RSI/RI DOR]
- Develop Extraction and Refresh Approach. [RSI/RI DOR]
  - o RSI requires a standard file layout be developed and files consolidated for data warehouse loading.

- o RI DOR to develop output file unless ETL can be used by RSI team to extract files reasonably.
- o RI DOR will extract the data on periodic basis (monthly or quarterly) based on update date in file extracting only new/changed records. Assumes file has FEIN or other primary identifier and/or unique RI assigned number that ties the taxpayer to mainframe system.
- o Information to load to DiscoverTax would be limited to:
  - Taxpayer Demographics
  - Account
  - Account Period
  - Financial Transactions
  - Return Line Items
- **Configure ETL Map & Transformations**
  - o Configure ETL Mapping [RSI]
  - o Configure Match Keys [RSI]
  - o Update Primary Indicator [RSI]
- **Test Source to AIF Load and Test A&G** (include partial mock runs)
  - o Load into DTAX (test mode) [RSI]
  - o Document Research Resolution Approach [RSI/RI DOR]
  - o Test Primary Indicator [RSI]
- **Run Source to AIF Load and A&G in Production**
  - o Load into DTAX (production) [RSI]
  - o Resolve Research. "Research" records are the input source records that could not be associated or grown into the warehouse. [RI DOR responsibility as it generally includes data purification decisions].
    - Automatic data purification: Where possible and reasonable, RSI will support research analysis and release of items through automated means (usually by modifying the A&G thresholds, no more than 20 hours assumed). [RSI]
    - Manual data purification: [RI DOR]
  - o Run Primary Indicator [RSI]

3.1.3.1.2 *Miscellaneous Tax Load – 3 Most Recent Tax Years (Refresh)*

Once the initial demographic and financial data has been loaded, a process needs to be put in place such that the data in the warehouse can be "refreshed" as data changes in the Legacy Income Tax system. Each of the data loading tasks follows a similar set of steps as those listed above. The detailed descriptions have been excluded from the subsequent data loading sections in order to avoid repetition. The steps in involved in this task as well as responsibilities for the steps will continue to be listed.

- **Define & Approve Data Field Mapping, Cleansing & Parsing.** Should be same as one-time conversion. Need to discuss frequency of refreshes. [RSI/RI DOR]
- **Develop Extraction and Refresh Approach.** Includes RI DOR approach to identify new or changed records only on the refresh extract. [RI DOR]
- **Configure ETL Map & Transformations**
  - o Configure ETL Mapping [RSI]
  - o Configure Match Keys [RSI]
  - o Update Primary Indicator [RSI]
- **Test Source to AIF Load and Test A&G** (include partial mock runs)
  - o Load into DTAX (test mode) [RSI]

- o Document Research Resolution Approach [RSI/RI DOR]
- o Test Primary Indicator [RSI]
- **Run Source to AIF Load and A&G in Production**
  - o Load into DTAX (production) [RSI]
  - o Resolve Research. "Research" records are the input source records that could not be associated or grown into the warehouse. [RI DOR responsibility as it generally includes data purification decisions].
    - Automatic data purification: Where possible and reasonable, RSI will support research analysis and release of items through automated means (usually by modifying the A&G thresholds, no more than 20 hours assumed). [RSI]
    - Manual data purification: [RI DOR]
  - o Run Primary Indicator [RSI]

If it is deemed more appropriate to load the Miscellaneous Tax financial data through stored procedures, this will be performed by RSI in a similar manner to the direct loads described below for the Income Tax Collections Data Load.

3.1.3.1.3 Motor Vehicle Registrations (One Time Load)

Building of the individual tax entities continues with the loading of Motor Vehicle Registration records related to individuals. A one-time load will be performed for the three most recent years of data. It is assumed that either RI DOR already has access to this data, or can obtain a file in advance of it being needed by RSI per the WBS. The steps and proposed owners include:

- **Define & Approve Data Field Mapping, Cleansing & Parsing.** [RSI/RI DOR]
- **Develop Extraction Approach.** [RI DOR]
- **Configure ETL Map & Transformations**
  - o Configure ETL Mapping [RSI]
  - o Configure Match Keys [RSI]
- **Test Source to AIF Load and Test A&G** (include partial mock runs)
  - o Load into DTAX (test mode) [RSI]
  - o Document Research Resolution Approach [RSI/RI DOR]
- **Run Source to AIF Load and A&G in Production**
  - o Load into DTAX (production) [RSI]
  - o Resolve Research. "Research" records are the input source records that could not be associated or grown into the warehouse. [RI DOR responsibility as it generally includes data purification decisions].
    - Automatic data purification: Where possible and reasonable, RSI will support research analysis and release of items through automated means (usually by modifying the A&G thresholds, no more than 20 hours assumed). [RSI]
    - Manual data purification: [RI DOR]

3.1.3.1.4 BMF/BRTF TY2005 (One Time Load)

Building of the business tax entities continues with the loading of BMF/BRTF records received from the IRS. A one-time load will be performed for the tax year 2005 data. The steps and proposed owners include:

- **Define & Approve Data Field Mapping, Cleansing & Parsing.** [RSI/RI DOR]
- **Develop Extraction Approach.** [RI DOR]

- <u>Configure ETL Map & Transformations</u>
  - o Configure ETL Mapping [RSI]
  - o Configure Match Keys [RSI]
- <u>Test Source to AIF Load and Test A&G</u> (include partial mock runs)
  - o Load into DTAX (test mode) [RSI]
  - o Document Research Resolution Approach [RSI/RI DOR]
- <u>Run Source to AIF Load and A&G in Production</u>
  - o Load into DTAX (production) [RSI]
  - o Resolve Research. "Research" records are the input source records that could not be associated or grown into the warehouse. [RI DOR responsibility as it generally includes data purification decisions].
    - ▪ Automatic data purification: Where possible and reasonable, RSI will support research analysis and release of items through automated means (usually by modifying the A&G thresholds, no more than 20 hours assumed). [RSI]
    - ▪ Manual data purification: [RI DOR]

3.1.3.2 Deliverable 18 – Phase B BI/Reports

In Phase B the following non-data loading activities will be performed:

- The build out of the user developed query ability including the ability to save/run queries and develop custom reports.

- Ability to forecast revenue trends, and build tax scenarios (e.g., if Rhode Island adjusted its sales tax rate what impacts would occur to sales tax revenue?)

- Generation of the Tax Expenditure Report, including a phase out of existing procedures used by the Revenue Analyst – Research and a significant knowledge transfer component to ensure a smooth adoption of the new tools.

- Knowledge transfer.

Throughout the project, the RSI team will work in close coordination with RI DOR personnel to provide on-the-job training and knowledge transfer in addition to classroom training. This side by side work is a key step for RI to be able to fully understand and operate the system long term.

3.1.3.2.1 Standard and Adhoc Report & BI Development

Ability to forecast revenue trends, and build tax scenarios (e.g. if Rhode Island adjusted its sales tax rate what impacts would occur to sales tax revenue?) It is assumed by RSI that the majority of these analysis requests come from the State Budget Office and varies each legislative session. Therefore it is important to finalize the types of questions that will be required to be answered by the BI tools during either contract negotiations or during project startup activities. RSI has allocated 280 hours in the WBS for standard and adhoc report development, as well as the further rollout of BI functionality.

3.1.3.2.2 Tax Expenditures Report

This task involves the use of the SAS Tools to generate the components of the Tax Expenditures Report that can reasonably be generated from the data loaded into the DiscoverTax database.

The tasks and responsibilities involved with creating the data for this report include:

- <u>JAD Sessions & Design [RSI/RI DOR]</u>
  - o RSI will not have seen the Tax Expenditures Report prior to commencing the project. Therefore, without understanding the true scope RSI had allocated 258 hours in the

WBS to providing assistance in generating the Tax Expenditures Report. Therefore RSI will work within this constraint to provide as much summary data analysis that is possible within that allotment to produce the Tax Expenditures Report.

- o RSI and the RI DOR will work together to prioritize the components of the report that can be reasonably generated using the data loaded into DiscoverTax by the time Design work begins on the report.
- o If more data is made available into DiscoverTax after the start of design that is used in the generation of the report, it is assumed that the RI DOR will be responsible for the necessary work to design, develop and test the requirements related to the data.

- BI Report Development [RSI]
  - o RSI will make its best effort to produce the report in SAS in the format currently used for the report. However, if subsequent manipulation of the data is required to get it into the required format, this will be the responsibility of the RI DOR.
- Test [RSI]
- Production Run [RSI]

3.1.3.3 Deliverable 19 – DiscoverTax Training Execution/Training Material Delivery

Training on this project is the process of providing Just-In-Time training to the subset of Agency system administrators, operators and end users identified in the Training Plan. This will be a combination of one-on-one training and classroom training conducted against the application within the training (pre-production) environment. RSI led training will consist of all training related to the DiscoverTax® components being implemented. Any Agency specific systems or processes affected by the implementations in Phase A or B will not be specifically trained by RSI resources in this task. For example, procedures for creating cases or affecting treatment strategy changes on existing collection system cases fall outside of the DiscoverTax® training curriculum. The Agency should decide on the appropriate format, content, timing and audience for any supplemental training that should be delivered in this Phase.

This task includes the duties outlined in Section 4.6.11 – Training Plan of the RSI Technical Proposal and reiterated below:

Developing the Training Plan.

A Training Plan will be developed early in the project. This Training Plan addresses the two training components of the Project: On-the-Job Training (OJT) and Instructor-Led Classroom Training (ILT). It also provides information about the Baseline DiscoverTax Documentation, which can be referenced by users and administrators for additional information. The specific number of RSI training courses that will be provided and executed by RSI in an Instructor-Led Classroom format will be outlined in the Training Plan.

DiscoverTax is a Commercial-Off-The-Shelf (COTS) product, and is therefore delivered with pre-defined training courses and documentation that will be customized as applicable based on specifics of the DOR implementation. This work product includes a mapping of the skills that will be developed during the on-the-job training (OJT) and a list of the prescribed courses for the classroom training (ILT).

This plan also provides an overview for the look and feel of the DiscoverTax application training guides. The Training Plan document can be considered a reference for the creation of the end-user training materials across all project phases and sets expectations regarding what training will occur and in what format.

The table below provides a summary of the training components provided by both RSI and SAS. Later subsections provide information for each component.

Table 3-1. Training Components Matrix

Component	Description	Provided By	Delivery Timeframe
Instructor Led Training (ILT)	Formal hands-on classroom training using a training environment of the DiscoverTax application.	RSI	Shortly before implementation.
SAS On-Site Training	On-site services provide users with the opportunity to train in a private training environment. On-site training is designed specifically for organizations that need group SAS software training, flexible training schedules, and lower employee travel costs.	SAS	Shortly before, during or after an implementation.
On-The-Job Training (OJT)	Knowledge transfer that occurs via day-to-day interaction between RSI and identified technical DOR staff.	RSI	Ongoing during design, configuration/customization and implementation of DiscoverTax
On-The-Job Training (OJT) Not Unique to DiscoverTax	Information that is not included in the DiscoverTax training program because it is not specific to DiscoverTax (such as SQL). These skills should be acquired by applicable DOR staff to facilitate their use and administration of the application.	State	Either before project start or early in the project lifecycle.
SAS Public Training	SAS public training courses through out the United States at 28 SAS Institute training facilities. Each course combines lectures, software demonstrations, hands-on computer workshops, and course notes that result in the best learning experience possible.	SAS	Shortly before, during or after an implementation.
SAS Live Web Training	Live web training allows users to attend classes without ever leaving their offices and saving them the added expense and time of traveling to a training center.	SAS	Shortly before, during or after an implementation.
SAS Self Paced eLearning (SPEL)	SPEL allows you to learn SAS at your own pace and convenience using a computer based training (CBT) approach.	SAS	Shortly before, during or after an implementation.
Baseline Documentation	Provides information about DiscoverTax that can be used to supplement information received via ILT and OJT. Includes Online Help, a DiscoverTax User Guide, a DiscoverTax Technical Reference Guide, an ETL and A&G Reference Guide. Optional components will be removed.	RSI	Provided as part of formal documentation delivery.

As with any implementation, it is important to marry the existing skill sets of the State resources assigned to the project, with the skills required to support the new application. Given the relatively short duration of this project, this eases the knowledge transfer process by aligning those with the necessary pre-requisite skills with the correct assignment on the project team, and

allows RSI resources to focus primarily on the skills necessary to allow state resources to administer and refine the system after project completion. Upon project start, RSI will provide an End-user Roles and Responsibilities document to the DOR to assist in identifying the DOR resources best aligned with the needs of the project.

The Training Plan will re-iterate the Training Approach that has been outlined in the sub-sections under Section 4.6.11 – Training Plan of the RSI Technical Proposal. The assignment of responsibilities related to this approach has been summarized below:

- Determine Client Users Per Role: RSI will work with the RI DOR Training Lead to create a list of participants by role. For each participant, the type of function they will perform on the production system indicates the type of training they will receive. For example, end users will be trained on the online interface and how to navigate between the various DiscoverTax screens to identify and select audit candidates. [RSI]

- Schedule Training Classes and Users: Using the list of participants by role, a training schedule will be developed which considers the number of participants by role and course. RSI will work with the RI DOR Training Lead to coordinate the schedule for DiscoverTax training. Training is to be conducted in contiguous blocks to leverage the onsite availability of the training staff. [RI DOR] For SAS specific training, RSI has included 60 Enterprise Professional Training Offer (EPTO) units of training in the fixed fee cost proposal. Therefore, the specific scheduling of RI DOR resources for SAS training will be capped at this 60 EPTO total.

- Schedule Training Facilities: RSI will work with the RI DOR Training Lead to ensure sufficient seats are available for trainees to attend DiscoverTax training sessions. Scheduling of facilities for DiscoverTax training will be coordinated with the overall project training facilities requirements. [RI DOR] RI DOR will provide the training facilities and connectivity to the training environment from the facilities.

- Configure Training Environment: This task will involve identifying available test data to be used for training purposes, configuring security profiles within DiscoverTax, and any legacy environments for trainees and ensuring taxpayers exist in the training environment to properly demonstrate interface functionality between DiscoverTax and existing legacy systems. RSI will create taxpayers in the training environment and will coordinate with data in the warehouse. RSI will set the application security and RI DOR will set up the environment security. [RSI, RI DOR for network security]

- Conduct Training Sessions: RSI Trainers will complete training delivery responsibilities per the Training Plan. Training execution will be restricted to the number of course, sessions and participants indicated in the Training Plan. [RSI]

It has been anticipated by RSI that the training courses outlined in the Training Plan that are to be delivered, will not be delivered at a single point in time. Rather as specific groups of trainees are ready for the training, that the training courses will be executed. The training to be delivered will roughly follow the WBS layout for when the activities to be trained on are being done, or the transfer of responsibilities will occur. For example, the DiscoverTax installation occurs early in the project. Training on how to install DiscoverTax will be done during the installation tasks, and not delayed until later in the project. Similarly, the Introduction to DiscoverTax training will be done when individuals first start to use DiscoverTax.

For planning purposes, RSI has assumed that 5 IT users and 5 Functional users will be trained in a 'Train the Trainer" mode. RSI will conduct up to a total of 8 DiscoverTax classes over the course of the project. Up to 8 trainers can attend any one course. Courses cannot be substituted for other courses and will be cancelled if it is deemed that on-the-job training has met course objectives. RI DOR will be responsible for providing classroom and computers for training (assuming an existing RI DOR training facility exists).

The DiscoverTax Training Execution/Training Material Delivery deliverable will be submitted after the last formal DiscoverTax train the trainer classroom training course is conducted. SAS training may occur (or be completed) after submission of the deliverable.

3.1.3.4 Deliverable 20 - DiscoverTax Documentation Delivery

Provide Documentation: Documentation will be provided in the form of DiscoverTax® online help and softcopies of available system documentation. RSI will provide online help as part of the DiscoverTax® application. RSI will provide a softcopy of each of the available DiscoverTax guides; a User Guide, Technical Reference Guide, and Administrator's Guide. These DiscoverTax manuals are updated, as needed, with each successive DiscoverTax release and will be provided to the RI DOR. The format will be in the standard RSI format and will not be modified. [RSI]

3.2 Implementation Schedule

In addition to continuous project management oversight during the project, RSI is proposing an approach with two major Phases, as shown below in Figure 3-1. The total duration of the onsite RSI presence is twenty (20) months. Our proposal includes the thirteen months of requested support which would begin after the last Phase A deliverable (Phase A - Collections & Audit Selection/Scoring deliverable) is accepted by the DOR.

	2007				2008											
	September	October	November	December	January	February	March	April	May	June	July	August	September	October	November	December
Project Management																
Project Startup																
Project Management																
Software Installation & Upgrades																
Phase A																
Core Data Loads																
Compliance Program Implementation																
Collections & Audit Selection/Scoring																
Revenue Analysis and Reporting																
Acceptance Milestone																
Warranty																
Phase B																
Additional Data Loads																
Additional Revenue Analysis and Reporting																
Training and Documentation																

Figure 3-1. Project Roadmap

The project schedule is highly dependent on the data loading and the review of the data. Unreasonable delays in data extraction or in review of the data will result in a change order. The project roadmap is based on a project start date of October 1, 2007.

Further, when the source files are loaded into the warehouse, the data will be matched to an existing entity, grow a new entity or be 'researched'. Based on similar projects, research rates can generally range from 0% to 2.5% of the records when taxpayer ID is used. RSI and RI DOR agree to use reasonable due diligence to resolve the research items, in particular for all legacy tax type data, collections and audit data, through automated (both parties) or manual (RI DOR) means without interrupting the project schedule. Given the installation timeline, a research rate of 5% or less should not interfere with additional data loads. It should be noted that when non-registrants or non-filers are subsequently identified, cases will not be created if a potential record for the taxpayer had been researched safeguarding the RI DOR from falsely identifying non-filers or non-registrants.

Appendix A provides a detailed MS project plan.

3.3 Payment Schedule

Table 3-2 outlines the proposed Payment Schedule based on the deliverables listed in SOW Section 3.1. RSI proposes the work outlined in this Statement of Work based on a fixed fee arrangement inclusive of services, travel and software license fees of $2,117,000. Annual maintenance for year three is separate and not listed in the table below. The table below provides a detailed breakdown of the pricing by deliverable.

Del #	Milestone/Deliverable	Proposed Invoice Amount	Proposed Invoice Month
1	Project Management Plan w/Training Plan	$ 60,000.00	October, 2007
20	DiscoverTax Documentation Delivery	$ 20,000.00	October, 2007
1a	Software Escrow Credit	$ (5,000.00)	October, 2007
2	Security Plan	$ 10,000.00	October, 2007
3	DiscoverTax Software License Signed	$ 597,491.00	October, 2007
4	SAS Software Licenses Signed	$ 239,509.00	December, 2007
5	Data Load #1	$ 69,000.00	January, 2007
6	Data Load #2	$ 65,000.00	Febuary, 2007
7	Data Load #3	$ 46,000.00	March, 2008
8	Data Load #4	$ 52,000.00	April, 2008
9	Data Load #5	$ 97,000.00	April, 2008
10	Data Load #6-#7	$ 46,000.00	August, 2008
11	Data Load #8	$ 74,000.00	July, 2008
12	Data Load #9	$ 76,000.00	October, 2008
13	Data Load #10-#11	$ 46,000.00	December, 2008
14	Case Scoring Implementation	$ 128,000.00	December, 2008
15	Phase A OLAP Cube/Reports	$ 90,000.00	September, 2008
16	IRMF Compliance Program	$ 144,000.00	August, 2008
17	Data Loads #12-#14	$ 116,000.00	Febuary, 2009
18	Phase B BI/Reports	$ 96,000.00	Novermber, 2008
19	DiscoverTax Training Execution	$ 50,000.00	Novermber, 2008
	TOTAL PROJECT COSTS	**$ 2,117,000.00**	

Table 3-2. Payment Schedule

The payment schedule includes two COTS software deliverables. A copy of the software license for the DiscoverTax software is included in Appendix A. Both software deliverables include the cost of 2 years of software maintenance for the corresponding DiscoverTax and SAS components listed as mandatory in Table 2-1. Solution Software Components – Mandatory. The cost of SQL Server has not been included in any RSI deliverables. The State of RI is exempt from taxes associated with the contract and therefore no sales tax has been included in the contract price, nor will RSI collect or remit such taxes.

3.4 Software Escrow

Revenue Solutions will provide the state of Rhode Island copies of all source code and documentation for DiscoverTax software for every Major release on CD. This CD will be shipped to a stakeholder of the client's choice.

The release code will be shipped starting at the project start date and to continue during maintenance term.

Details of this arrangement can be found in the contract.

3.5 Performance Bond

A Performance Bond is required for this project. A draft of the performance bond will be acquired before the contract completion and a formal bond will be signed directly after the contract is signed.

3.6 Project Team

3.6.1 Contractor (RSI) Personnel

The following RSI personnel will perform the tasks described in this SOW. RI DOR will be notified, in writing, of any changes in the personnel assigned to this project.

Contractor personnel (those full-time) will work a minimum of 40 hours a week on project related work, and there will be Contractor presence on the RI DOR site Monday through Friday, and on weekends if required. Individual Contractor staff may work a shortened work week, if the minimum hour requirement is met. Additionally, some work may be performed off-site as long as proper data security measures are in the place and RI DOR has been notified in advance.

Table 3-3. Assigned Contractor Personnel

Person	Resource Category	Change Order Rates
John Bace	Project Oversight	$235
Aaron Stibel	Project Manager	$135
Mike Early	Configuration Specialist	$95
TBD	RSI Training Lead	$110
Hrushi Sulakhe	Technical Analyst	$65
Jerry Voight	SAS BI Expert	$200
John McCalden	RSI SAS Modeler	$170
Dean Raspa	RSI SAS BI Analyst	$65
Tina Donnarummo	RSI SAS BI Analyst	$65
Simba Pasipanodya	Technical Analyst	$65

The change order rates are exclusive of expenses. The work to be performed by the individuals listed above is being provided below by role. A summary of each named person's role is provided in the Staffing Resource Table below.

Table 3-4. RSI Staffing Resource Table

Organization Chart Title	Resource	Role
Project Oversight	John Bace	Project Oversight has responsibility for strategy, quality assurance and delivery. Primary responsibilities include overall project direction, quality assurance, client relationship management, and issue/risk mitigation and resolution. In addition, the RSI Project Oversight provides senior level domain expertise in tax administration business systems, tax policy, and audit selection & case management, collections management & tax discovery compliance programs and strategies. The Project Oversight role is part time.
Project Advisors	Tom Heinz & Mike Wulfkuhle	The Project Advisors provide quality assurance and senior level domain expertise in tax administration business systems, tax policy, and audit selection & case management, collections management & tax discovery compliance programs and strategies. They are selected for an engagement based on the experience they bring related to the project activities. The Project Advisors role is part time.
Project Manager	Aaron Stibel	The Project Manager has overall responsibility for project delivery. Primary responsibilities include work plan management, staffing, project financials, issue/risk mitigation & resolution, and client relationship management. In addition, the Project Manager provides senior level domain expertise in the configuration of the DiscoverTax product and how it can be leveraged to maximize ROI for the Department. RSI project managers provide a technical and functional background, specifically in data warehousing, audit and compliance solutions and offer a wide variety of skills and experience.
Configuration Specialist	Mike Early	The Configuration Specialist is an expert in the installation and configuration of the DiscoverTax product and is the "Team Lead" responsible for the day to day task management of the technical analyst. The Configuration Specialist is responsible for ensuring that the DiscoverTax product is properly configured and tested prior to implementation. This person is also highly skilled in data loading, compliance program planning, such as discovery and audit selection, the technical environment and the proposed third-party products, and will be responsible for the data loading and any compliance program rollout, as well as the BI tool configuration.

Organization Chart Title	Resource	Role
Technical Analyst	Hrushi Sulakhe	The Technical Analyst is experienced in the installation of hardware, system software, the DiscoverTax application, and the third-party products including the ETL tool (Embarcadero DT/Studio). The Technical Analyst is responsible for the design, development and testing of any required interfaces with current production (legacy) client applications and with all data loading activities. This includes ETL's written in DT/Studio as well as a procedures or scripts that are required to transfer data between the source system and DiscoverTax. This resource will also provide knowledge transfer on the end-to-end data loading processes to the DOR resources identified as 'owners' of the data loading process.
Training Lead	TBD	The Training Lead is knowledgeable in one or many areas of the proposed solution and is responsible for assembling, and tailoring if required, the training material and classroom lab assignments. The Training Lead is also responsible for preparing the training environment and conducting the instructor-led training or train-the-trainer courses.
RSI SAS BI Modeler	John McCalden	The RSI SAS BI Modeler brings a strong understanding of the Base SAS and SAS STAT components of the solution as well as a systematic approach to soliciting compliance predictors from state staff and systems. This experience along with proven experience modeling collection and audit processes, and designing effective treatment strategies will improve the ROI of current DOR collection and audit processes.
SAS BI Expert	Jerry Voight	The SAS BI Expert provides expertise in the area of query and OLAP cube requirements definition and design, and dashboard creation. They will provide input into the types of questions asked of the Department in order to ensure that the OLAP cubes are designed to provide the answers to these questions. This resource also provides expertise into the SAS STAT and ETS tools used for trend analysis, forecasting and cost/benefit analysis.

Organization Chart Title	Resource	Role
Solution Center		The RSI Solution Center is based in Roseville, California. It has a full-time staff of 20 people that are dedicated to providing RSI customers with product support. The Solution Center is also the site for the Research and Development of new and existing RSI products and services. The Solution Center will be involved with both assisting the RSI Staff with the implementation of the project as well as making any baseline modifications to the DiscoverTax software to meet the requirements of the DOR. During the project, on-site consultants speak with Solution Center personnel on a regular basis. Weekly, the managers from each DiscoverTax project (currently five on-going projects) participate in a conference call with the Solution Center management to share ideas, discuss upcoming releases and resolve any field requests. This weekly call is a key success factor and has been on-going for years. Additionally, the Solution Center will provide the primary offsite support after the implementation of the system, as well as any customer service requirements that cannot be supported by the on-site RSI team. Please refer to the DiscoverTax maintenance requirements responses for a more complete description of the support services to be provided by the RSI Solution Center.

3.6.2 RI DOR

The SOW assumes that the RI DOR ("Agency") will assign people to the project to extract the data necessary data, participate in data mapping, participate in testing of the data loads, support definition of the compliance programs, test the compliance results, provide hardware and technical support and transition operations, including data loading, queries, tax calculation and security/administration setup. A summary of the personnel required is listed in Table 4-5 below.

RSI views this project as requiring a team based approach to ensure a successful implementation. RSI staff will work side-by-side with the groups indicated in the RFP and Data Warehouse Project Team organizational chart above on all aspects of this important engagement. RSI will be dependent on DOR resources familiar with the source systems for extracting the data and providing external source data, in ASCII format, to RSI for loading. Additionally through design sessions, RSI staff will work with DOR staff knowledgeable in current processes, the data and what it represents, and desired functionality to develop creative solutions that will meet the requirements. In regards to Addendum 3 of the RFP, the DOR has requested vendors to outline the number and type of State resources necessary to finish the project in the proposed timeframe. RSI has presented the vendor resource requirements in Table 2-2 below.

Table 3-5. State Staffing Resource Table

Organization Chart Title	Resource	Role
Executive Steering Committee	1-3 people	The Executive Steering Committee will fulfill the role outlined by the DOR in the RFP.
State Project Manager	1 person	The State Project Manager will fulfill the role outlined by the DOR in the RFP.
DOR Project Team	3 people	The DOR Project Team will fulfill the roles outlined by the DOR in the RFP. The DOR Project Team will provide requirements validation, contribute to the design sessions, provide final acceptance for the State on design decisions that will permit RSI to configure the application per the requirements and produce the deliverables. The DOR Project Team will also perform client validation testing of all work products or deliverables to provide a recommendation to the State Project Manager on the acceptance of deliverables. The DOR Project Team will also lead negotiations with external agencies (including the IRS) to obtain data source extracts in the agreed to format.
DOR Working Groups	1-3 SME's 4-5 knowledge transfer candidates 1-3 IT staff	The DOR Working Groups will fulfill the roles outlined by the DOR in the RFP. In addition to providing subject matter expertise, the DOR Working Groups are expected to contain the knowledge transfer candidates. Knowledge Transfer candidates may or may not be the SMEs assigned to the project, but there are advantages if the individuals providing validation of the requirements, design and developed solution also have ownership of the solution after acceptance. RSI is proposing 4-5 knowledge transfer candidates to satisfy the operations roles of ETL/Data Loading (1-2 candidates), SAS BI tool experts (2-3 candidates), audit/collection risk score experts (1 candidate) 1-3 IT staff will be involved primarily in the extraction process from DOR systems and acting as the liaisons with external agencies regarding data consistency, data quality and data currency issues.

RSI has made assumptions regarding the tasks that will be assigned to these resources during the execution of the Project. Assignment of tasks to RI DOR resources is critical for not only knowledge transfer purposes, but more importantly to provide validity to other tasks completed by RSI during the implementation. The description of the involvement of each RI DOR project member is presented below to provide context to the tasks assigned in the implementation plan in Appendix C.

State Project Manager: The State Project Manager will serve as RSI's point of contact for any matters relating to the management of the project, including but not limited to, incident/issue management, informal dispute resolution, resource assignments, scope concerns, training concerns, final deliverable acceptance, contract amendments or clarifications and invoicing issues. RSI counterparts to the State Project Manager are the Project Director and Project Manager.

The Project Manager is assumed by RSI to be the final approver that a deliverable has been reached.

Project Oversight/Executive Steering Committee: The Project Oversight/Executive Steering Committee has responsibility for project oversight and quality assurance. Primary responsibilities include overall project direction, quality assurance, and issue/risk mitigation and resolution. Key business owners on the RI DOR team will be responsible for communicating changes to operations staff. The Oversight team counterparts are RSI Project Director and RSI Project Manager.

DOR Working Groups:
Audit/Collections Risk Score Experts (RI DOR Compliance Staff): Compliance Staff will assist in defining the compliance programs, audit and collections scoring criteria, treatment strategies and compliance program workflow.

ETL/Data Loading Experts and Extraction Specialists (RI DOR IT): – Programmer analysts will be responsible for extracting the data from the legacy applications and, where necessary, extracting data for periodic refreshes. Analysts will be involved in mapping the data to the data warehouse, defining the layouts with RSI and testing the data loads/refreshes.

Specifically, these staff will be involved in design sessions to identify the appropriate mapping of data fields from the agency data sources or IRS sources to the DiscoverTax tables. Additional responsibilities include support for the testing and validation of data loaded into the data warehouse, and support for investigated taxpayers added to the Research Queue within DiscoverTax. An outcome of the data loading exercise will be a number of taxpayers that could not be loaded due to data purification issues. The IT staff will provide assistance in diagnosing the source of the data purification issue and coordinate manual cleanup in the RI DOR systems if required. The RI DOR IT staff will be relied upon to verify the successful loading of each data source into production.

RI DOR IT staff will be responsible for integration compliance leads into the legacy case management system and/or modifying treatment strategies in the legacy collection system as a result of the audit and collection modeling processes and will be responsible for any correspondence generation. RSI's responsibilities for lead follow-up end with lead selection and generation of any output files that include collection/audit scoring and treatment strategy indicators.

RI DOR IT staff will be the single point of contact for access to the data sources to be loaded into DiscoverTax. They will work side by side with RSI to understand the mapping and data loading process in detail.

A significant knowledge transfer opportunity exists for the RI DOR IT staff to learn about the ETL functions and offline processes of DiscoverTax. It is advantageous that the RI DOR resources assigned to the pre-production tasks be resources that will define and load additional data sources and run additional tax calculations into DiscoverTax upon completion of the project. These resources should also be the resources that will provide technical production support to the DiscoverTax application.

SAS BI Tool Experts: RI SAS BI Tool Experts will support the BI tool development and utilization. Support will be provided in the area of query and OLAP tool rollout. As the Query and OLAP tools are being configured and deployed, DBA assistance will be required for design validation and deployment support. Ideally members of the project team will assume responsibility for this roll during the project and become knowledge transfer candidates throughout the development effort.

RI DOR Technical Support: RI DOR is responsible for the technical environment – hardware, operating systems, database, LAN connectivity, back-ups and support. Once the data sources and compliance programs within a Phase are in production, RSI has assumed that production support will be provided by the RI DOR Technical Support. This support includes server monitoring, database sizing and technical production support. The transition from pre-production support (provided by RSI) to post-production support (provided by RI DOR) will occur upon completion of a Phase (i.e. the final milestone within a phase has been reached).

3.6.3 General Client Responsibilities

RI DOR and the RI DOR will provide the staff designated above to perform the work as indicated in this Statement of Work, and in the project plan. If the RI DOR delays its provision of any of such staff, RSI may use reasonable efforts to achieve timely completion of the applicable task(s). Any services so provided by RSI will be provided on a time and materials basis at RSI's then-current time and materials rates.

RI DOR will be responsible for providing in a timely manner any required information, data, documentation, issue decisions, and test data as needed by the project team.

RI DOR will work with RSI to meet the project schedule and to reach milestones on time. RI DOR will be responsible for completing those tasks specified and mutually agreed to as RI DOR responsibilities in this Statement of Work.

RI DOR will provide RSI with timely access to appropriate RI DOR personnel as necessary or helpful to perform RSI's obligations under this Statement of Work.

4.0 CONTRACTUAL CONSIDERATIONS

4.1 Points of Contact

The points of contact for this Statement of Work are:

Rhode Island	Vendor
Barbara Bisson	Revenue Solutions, Inc.
Project Manager	John Bace
Phone: 401-222-6695	Phone: 617-461-8141
Email: BarbaraB@gw.doa.state.ri.us	Email: jbace@rsimail.com

4.2 Supplemental Terms and Conditions

The following terms and conditions are mutually agreed to in order to supplement the existing Appendix A – State of Rhode Island General Conditions of Purchase. The terms "party" and "parties" contained within this section refer to RSI and RI DOR. RIDOR shall mean the State, unless the context otherwise requires.

4.2.1.1 Third Party & Vendor Software

By mutual written agreement of the parties, additions, deletions and/or substitutions of Software (e.g., software release upgrade) as well as reallocation of funds between items of such Software may be made so long as they do not cause an increase in the total Contract Price. In situations where the Contract Price is affected by the addition, deletion and/or substitution of Software, a Change Order will be required to be drafted.

4.2.2 Approvals and Information

Under the conduct of this Statement of Work, there is an expectation that each party will respond reasonably promptly to any request by the other party to provide information, direction, authorization, approvals, decision or resolution of issues relating to performance of the requesting party's obligations under this Statement of Work. Due to the tight timeframes on this project, it is assumed that neither party will unreasonably delay providing a response to any such request. The parties intend that all such responses shall be provided within ten (10) business days. Reasonable time will be allocated for issue resolution assuming that identified issues are prioritized by both parties and agreement to the resolution order is discussed.

4.2.3 Change Orders

4.2.3.1 Change Orders, In General

Either party may propose changes to the scope of work or time schedule or software of the services to be performed. Requests for changes will be submitted to the other party in writing for analysis. The written request should provide a set of requirements for the work to be performed. The receiving party will evaluate the impact of the work from both a time and cost basis, and with consideration to how/when the change order will be factored into existing project activities. The parties will mutually agree to any proposed changes, including resulting equitable adjustments to costs and schedules for the performance of services. Compensation for any additional services under a Change Order will be calculated on a time and materials basis at RSI's current rates as listed in Section 3.4.1 or at a negotiated fixed price. Proposed changes will be effected through a written Change Order.

4.2.3.2 Change Orders for Certain Schedule Delays.

In the event of any substantial delay or failure of the RI DOR to perform any of its responsibilities or obligations under this Agreement or of the failure of an assumption specified in this Statement of Work that either results in 1) a material adverse impact on RSI's ability to implement the system and functionality described in a timely fashion, or 2) a material increase in RSI's cost; an equitable adjustment to all affected terms and conditions will be made, including without limitation the implementation schedule and RSI's compensation. The equitable adjustment may include (1) an adjustment to the cost under the affected task/deliverable; (2) an adjustment to the implementation schedule; or (3) such other equitable adjustments (such as a change in scope) which are agreed to by the parties. In such event, the parties will mutually agree upon a Change Order documenting the adjustments to the implementation schedule, costs, or other equitable adjustment and the amount of compensation payable to RSI.

4.2.3.3 Change Orders, Effect on Prices

Amounts to be accrued pursuant to a Change Order will be in addition to existing costs that are in place immediately prior to the signing of the Change Order. Such amounts become payable to RSI if the deliverables contained within the Change Order have been accepted. The parties recognize that a Change Order could delay the delivery and/or acceptance of other deliverables for which RSI has estimated.

4.2.4 Deliverable Acceptance

4.2.4.1 General Procedures

This Deliverable Acceptance section below is intended to further clarify the process of submitting, approving, and resolving discrepancies with paid deliverables. "Acceptance" of deliverables will be conducted in accordance with the following procedures. Each party agrees that it will pursue Acceptance of each deliverable in good faith and with diligence. RI DOR agrees that it will not unreasonably withhold or delay its Acceptance of any Software Deliverable or any Written Deliverable. Similarly, RSI will work diligently with the client to resolve any discrepancies found with a deliverable. The default Acceptance Period specified in this Section may be overridden by a specific provision in a deliverable if more/less time is agreed to for the particular deliverable.

4.2.4.2 Written Deliverables

RSI may submit interim draft sections of a Written Deliverable to RI DOR for review. RI DOR will make every reasonable effort to review each interim draft section within ten (10) business days after receiving it from RSI. When RSI delivers a final Written Deliverable to RI DOR, RI DOR will have the opportunity to review the Written Deliverable for an Acceptance Period of ten (10) business days, or as otherwise specified in the applicable deliverable. RI DOR agrees to notify RSI in writing by the end of the Acceptance Period either stating that the Written Deliverable is Accepted, or that it is Unaccepted. If a Written Deliverable is Accepted yet RI DOR identifies deficiencies in its written Acceptance, RSI will first validate the deficiencies and then correct the deficiencies within a reasonable amount of time. If a Written Deliverable is Unaccepted by RI DOR, RI DOR must describe in detail any deficiencies and the severity of the deficiency that must be corrected prior to Acceptance of the Written Deliverable. If RSI does not receive any such deficiency notice from RI DOR by the end of the Acceptance Period, the Written Deliverable will be deemed to be Accepted by RI DOR. If RI DOR notifies RSI that the deliverable is Unaccepted, and delivers a timely notice of deficiencies and RSI agrees that the items specified in the notice are deficiencies, RSI will correct the documented deficiencies within a reasonable period of time. Unless otherwise specified in the Statement of Work or Change Order under which the applicable Written Deliverable is developed, RSI's correction efforts will be made at no additional charge. Upon receipt of a corrected Written Deliverable from RSI, RI DOR will have an additional Acceptance Period of ten (10) business days, to review the corrections made to the deliverable.

4.2.4.3 Software Deliverables

At least five (5) days prior to the delivery of any Software Deliverable to the RI DOR, RSI will offer to meet with RI DOR to agree upon the subset of acceptance test scripts and/or acceptance criteria for the Software Deliverable. This is typically based on the detailed test scripts, test cases, test data and expected results defined by the client to test the delivered software. Acceptance of Software Deliverables will be conducted in accordance with the following procedures.

The Acceptance Period for software installation will begin when RSI has completed and performed its internal testing of the application(s) at the RI DOR's designated site. RI DOR will demonstrate the readiness of the target technical platform and environment prior to RSI's delivery of the Software Deliverable. The Acceptance Period for software installation will be ten (10) business days unless otherwise agreed between the parties and specified in the applicable deliverable.

RI DOR will start to perform Acceptance Testing promptly after receiving RSI's notice that the Software Deliverable is ready for Acceptance. RI DOR agrees to notify RSI in writing by the end of the Acceptance Period either stating that the Software Deliverable is Accepted, or that it is Unaccepted. RI DOR is encouraged to provide RSI with notification of defects, including the necessary steps to recreate the defect, at any time during the Acceptance Period. If a Software Deliverable is Accepted yet RI DOR lists defects found in its written Acceptance, RSI will first validate the deficiencies and then correct the deficiencies within a reasonable amount of time. If a Software Deliverable is Unaccepted by the RI DOR, RI DOR must describe in detail any defects, and the steps to recreate the defect, that must be corrected prior to Acceptance of the Software Deliverable. If RSI does not receive any such deficiency notice from RI DOR by the end of the Acceptance Period, the

Software Deliverable will be deemed to be Accepted by RI DOR. If RI DOR notifies RSI that the deliverable is Unaccepted, and delivers a timely notice of deficiencies and RSI agrees that the items specified in the notice are deficiencies, RSI will correct the documented deficiencies within a reasonable period of time. Unless otherwise specified in the Statement of Work or Change Order under which the applicable Software Deliverable is developed, RSI's correction efforts will be made at no additional charge. Upon installation of a corrected Software Deliverable from RSI, RI DOR will have an additional Acceptance Period of ten (10) business days, to retest any defects found in the original Acceptance Period.

If RI DOR determines that any defects found during the Acceptance Period have not been corrected, RI DOR will provide RSI a revised defect list detailing the subset of original defects that failed retest. In such event, the procedures set forth in this Section will be repeated for the revised defects.

Acceptance of a Software Deliverable will take place on the first date on which any of the following events occurs: 1) RI DOR gives RSI written notice of Acceptance; 2) RSI does not receive a deficiency notice from RI DOR by the end of the Acceptance Period, 3) RSI does not receive a deficiency notice from RI DOR by the end of the re-testing period or 4) RI DOR uses the Software Deliverable or any substantial portion of it in production.

4.2.5 Project Acceptance Period

Per RFP Ref: Page 22, Section 5.9.1, "The selected vendor shall submit to an acceptance trial period. The period shall begin on the first full work day after the vendor and the DOR agree and declare the application development to be complete and the system operational, and continue for up to one hundred and twenty (120) days."

RSI responded with "RSI understands and agrees to this requirement. Due the nature of the proposed project approach, it is important for both the DOR and RSI to agree upon when the acceptance trail period begins. In an iterative data loading approach like RSI is proposing, each data load will go through a design, configuration, system test, acceptance test and deployment cycle. A data loading priority will be established whereby the data warehouse is expanded via a series of data loads until sufficient data is available to form the basis of subsequent work including building reporting capability, query capability and other tools necessary to fulfill the revenue trend analysis and reporting goals. Logical acceptance points of data loading iterations and reporting capability build out will be established during the iterative development approach and will be formalized and agreed to in the master project plan. RSI is advocating that formal acceptance should occur after submission of Deliverable 15 - Phase A OLAP Cube/Reports, and this would start the acceptance trial period."

By acceptance of this SOW, the RI DOR consents to the project acceptance period beginning at such time that Deliverable 15 – Phase A OLAP Cube/Reports is accepted by the RI DOR.

4.2.6 General Responsibility Assumptions

Both parties have based their pricing, scheduling, and knowledge transfer expectations on the responsibilities and assumptions stated in this Statement of Work. Both parties have agreed to

provide sufficient staff with the necessary skills and experience to complete the project within the timeframes and budget agreed to, while at the same time ensuring that the RI DOR receives sufficient training to assume control of the system upon implementation.

4.2.6.1 Connectivity

As individual Contractor project team members arrive on the project site, there is an expectation that RI DOR will work with RSI to ensure necessary access to the appropriate network, printers and applications necessary to complete the individual's work while on the project site. This is to include internet access, and project information such as technical documentation, deliverables and incident tracking tools. This access should be granted within two (2) days of arrival or within two (2) days of installation of the hardware or software. RSI will comply with any necessary background checks or acknowledgement signing necessary to grant this access. If access to RI DOR specific applications or environments is required to complete the work, there is an assumption that this security access to operating systems, databases, or other systems will be granted within two (2) days.

4.2.6.2 Access

RSI will require access to the project's designated work area and information systems 24 hours per day, seven days per week during the contract period. RSI will require the assistance of RI DOR / RI DOR's information systems staff from time to time, on an as needed basis to facilitate mainframe and other systems work that may be required. When possible this work will be scheduled in advance from 6:00 a.m. through 6:00 p.m., Monday through Friday, but may be required to be completed at other times as dictated by the project schedule.

RSI development staff will be provided with security access to all project related hardware, operating software, and applications in the development and production environments in order to complete project activities. RSI also requests VPN access to allow for remote access to Department resources. RSI agrees to abide by all RI DOR/RI DOR security regulations concerning access to and confidentiality of data of which RSI has advance written notice.

4.2.6.3 Project Delivery Responsibilities

RI DOR will provide the staff designated in this Statement of Work. If RI DOR is unable to provide a qualified candidate for the role, or delays its provision of staff for the role, RSI may be required to use reasonable efforts to achieve timely completion of the applicable task(s) or delay the schedule. Any services provided by RSI to make up for the lack of, of delay of client staff will be provided on a time and materials basis at RSI's current time and materials rates. Alternatively, if preferred, the work can be completed as a change order under the rules set out in the Change Order section of this Statement of Work.

RI DOR will be responsible for providing in a timely manner any required information, data, documentation, and test data as needed by the project team.

RI DOR will work with RSI to complete project deliverables. RI DOR will be responsible for completing those tasks specified and mutually agreed to as RI DOR responsibilities in the Statement of Work.

4.3 License

The RI DOR will execute the DiscoverTax license provided in Appendix B.

The RI DOR will execute a license for the applicable SAS licenses in a form reasonably acceptable to State and in accordance with the terms of the Agreement. Upon the execution and delivery of such license, the State will be granted a fully-paid, 50-year term license of the SAS PC and server software listed in RSI's proposal per the terms and conditions of Executive Information Systems, LLC's GSA contract (GS-35F-0170K).

The SAS licenses will be provided in October 2007, for discussion and resolution by the end of 2007, well in advance of the installation date per the WBS in Appendix A.

4.4 Warranty/Maintenance

RSI warrants that the Data Warehouse System for thirteen (13) months shall be free of errors that cause deviation from the functional and performance requirements specified in the RFP and Agreement, including but not limited to operating on the equipment and/or hardware recommended to State by RSI and with and/or in conjunction with the recommended third-party software from the date of acceptance of the system, which warranty is included in the total price of the system for all software products . This Warranty shall also be provided in accordance with the software maintenance and support provisions as defined in the RSI License and Support Agreement and corresponding SAS License Agreements. RSI has actually included 24 months of support from the start of the project in our cost proposal, as well as additional yearly maintenance costs for the included components.

If RSI resells any hardware or software it purchased from a third party, and such third party offers additional or more advantageous warranties than those set forth herein, RSI shall pass through any such warranties to the State and RSI shall reasonably cooperate in enforcing them. Such warranty pass-through will be supplemental to, and not relieve RSI from, RSI's warranty obligations set forth herein.

RSI warrants that the deliverables furnished hereunder will be free, at the time of delivery, of harmful code (i.e. computer viruses, worms, trap doors, time bombs, disabling code, or any similar mechanism designed to interfere with the intended operation of, or cause damage to, computers, data or software).

During the Warranty period, the State of RI will be entitled to toll-free telephone support during normal business hours, enhancements to software products, 'bug' fixes and new version releases. The warranty period does not include installation of new releases, which are subject to labor rates in effect at the time RI may wish to have RSI install them.

For SAS product support during the Warranty period, RI can contact SAS directly for toll-free telephone support during normal business hours, bug fixes and version releases. For purposes of putting together a firm fixed price bid, RSI has assumed that acceptance of the system and the subsequent 13 month warranty period will not exceed a total of 24 months.

RSI will also have resources available on site after acceptance for the Phase B activities, including a full-time data loading resource that will be available through February 2009.

Lastly, RSI's proposed software support plan (called "Gold Level Support") includes an amount of consulting support hours that can be used for additional training or specialized projects that RI

may desire during the Warranty period. This "Gold Level Support" has been used at several of our sites to provide site specific consulting services at the end of the existing contracts. Typically this arrangement allows for a set number of hours to be dedicated to any number of tasks that the DOR may which RSI to perform including additional compliance program deployment, data loading and/or knowledge transfer.

To clarify this response, the support/warranty is provide for a two year term, and is composed of software support and maintenance (i.e. RSI Software Maintenance & Support and SAS Software Maintenance & Support) as well as support for custom developed software that RSI provides as part of the implementation. This support is further described below:

Based on the latest WBS with a start date of 10/1/2007 the following are *estimated* start and end dates for warranty:

- Start Date: 9/06/2008 (based on Deliverable 15)
- End Date: 10/05/2009   (based on 13 months after start date)

RSI Software Maintenance & Support:

Per the terms of the RSI DiscoverTax Software Maintenance Agreement, the following DiscoverTax Standard Maintenance Services are covered by the 2 years of maintenance provided in our Proposal. This maintenance term would start upon license signing (assumed to be Oct 2007) and would continue through Oct. 2009.

- **Standard Maintenance Services**

   a. Scope of Services. During the term of this Addendum, Licensor will provide Licensee the following Standard Maintenance Services for the Licensed Software:

      i. Corrections of substantial defects in the Licensed Software so that the Licensed Software will operate as described in the user manuals provided to Licensee with the Licensed Software, Scope of Work and Data Warehouse Agreement..

      ii. Periodic updates and enhancements of the Licensed Software that may incorporate (A) Enhancements, and (B) corrections of Defects.

      iii. Periodic updates to the user manual.

      iv. Live toll free telephone support (available at 888-826-1324, ext. 35) between the hours of 7:00 a.m. and 5:00 p.m., Pacific Standard Time, Monday through Friday, excluding federal holidays, and e-mail support (available at DTaxSupport@DiscoverTax.com) to assist Licensee in using the Licensed Software. Licensor will acknowledge a reported problem with the Licensed Software within one (1) hour of a report and will use reasonable efforts to resolve it within twenty-four hours. If such reported problem is not resolved within twenty-four hours, such reported problem shall be resolved in a reasonable amount of time.

   b. Services Not Included. Standard Maintenance Services covered by this Addendum do not include:

i. Components that are not covered by Licensee's License agreement or that are offered, at Licensor's sole discretion, to Licensees upon payment of an additional license fee.

ii. Custom programming services.

iii. On-site support.

iv. Training.

v. Hardware and related supplies.

vi. Support for customer specific modifications or extensions.

c. Definitions.

i. "Defect" – an error or flaw in the Licensed Software that causes it to operate in a manner inconsistent with its specifications and documentation.

ii. "Enhancement" – an enhancement adds functionality to the Licensed Software.

Responsibility for maintenance is outlined below:

- DiscoverTax Software   RSI
    1. DiscoverTax Base Software
    2. Code1
    3. Embarcadero
    4. SSA
- Windows   DOIT
- MS SQL Sever   DOIT
- Backup   DOIT
- Hardware   DOIT/DELL

Additionally, the following items are required for all servers housed in RI's environment:

1. DoIT must have the administrator password
2. The servers must have anti-virus software installed, and
3. The servers must have Windows automatic update configured

Based on the latest WBS with a start date of 10/1/2007 the following are *estimated* start and end dates for warranty:

Start Date: 10/1/07   (based on Deliverable 3)
End Date: 10/01/09   (based on two years after Start Date)

- **SAS Software Maintenance & Support:**

Per the terms of the SAS Software Maintenance & Support Agreement, provided to the RI DOR as a pdf file (EIS GSA TCs Mod 125 1-30-07.pdf), all SAS software is covered for a term of two years from the date of shipping (approximately March 2008) through March 2010. Such SAS Software and Maintenance Support Agreement shall be in the form reasonably acceptable to the State.

4.5 Signatures

Each party has caused its authorized representative to execute this SOW.

Revenue Solutions, Inc. (RSI)

State of Rhode Island
By and through the Department of Administration
on behalf of the Department of Revenue

By:_____

Name:_____

Title:_____

By:_____

Name: <u>Beverly E. Najarian</u>

Title: <u>Director and Chief Purchasing Officer</u>

Per the terms of the SAS Software Maintenance & Support Agreement, provided to the RI DOR as a pdf file (EIS GSA TCs Mod 125 1-30-07.pdf), all SAS software is covered for a term of two years from the date of shipping (approximately March 2008) through March 2010. Such SAS Software and Maintenance Support Agreement shall be in the form reasonably acceptable to the State.

4.5 Signatures

Each party has caused its authorized representative to execute this SOW.

Revenue Solutions, Inc. (RSI)

State of Rhode Island
By and through the Department of Administration
on behalf of the Department of Revenue

By: _____
Name: _____
Title: ~~Christopher L. Barlow, CFO~~

By: _____
Name: Beverly E. Najarian
Title: Director and Chief Purchasing Officer

APPENDIX A: PROJECT WORKPLAN

RI WBS for Data Warehouse Project SOW

Project Start Date: Mon 7/2/07
Project Finish Date: Mon 2/16/09

Task_Table1

WBS	Name	Duration	Start_Date	Finish_Date	Resource_Names
1	Rhode Island Data Warehouse Project	410.25 days	Mon 7/23/07	Mon 2/16/09	
1.1	Pre-Project Tasks	10 days	Mon 7/23/07	Fri 8/3/07	
1.1.1	Define Data Extract Availability & Extract Approach	7 days	Mon 7/23/07	Tue 7/31/07	
1.1.1.1	Income Tax Load (3 yrs)	0.5 days	Mon 7/23/07	Mon 7/23/07	DOR,Configuration Specialist 1
1.1.1.2	IMF/IRTF EY2005	0.5 days	Mon 7/23/07	Mon 7/23/07	Technical Analyst 1,DOR
1.1.1.3	W2 Load (3 yrs)	0.5 days	Tue 7/24/07	Tue 7/24/07	DOR,Technical Analyst 1
1.1.1.4	IRMF TY2004	0.5 days	Tue 7/24/07	Tue 7/24/07	Technical Analyst 1,DOR
1.1.1.5	Income Tax Collections Load	0.5 days	Wed 7/25/07	Wed 7/25/07	DOR,Technical Analyst 1
1.1.1.6	Business Tax Load (3 yrs)	0.5 days	Wed 7/25/07	Wed 7/25/07	DOR,Technical Analyst 1
1.1.1.7	Business Tax Collections Load	0.5 days	Thu 7/26/07	Thu 7/26/07	DOR,Technical Analyst 1
1.1.1.8	Corporate Tax Load (3 yrs)	0.5 days	Thu 7/26/07	Thu 7/26/07	DOR,Technical Analyst 1
1.1.1.9	Field Audit Load (3yrs)	0.5 days	Fri 7/27/07	Fri 7/27/07	DOR,Technical Analyst 1
1.1.1.10	Field Audit History Load (3yrs)	0.5 days	Fri 7/27/07	Fri 7/27/07	DOR,Technical Analyst 1
1.1.1.11	Motor Vehicle	0.5 days	Mon 7/30/07	Mon 7/30/07	DOR,Technical

		Licensing (3yrs)				Analyst 1
1.1.1.12		Motor Vehicle Registrations (2005)	0.5 days	Mon 7/30/07	Mon 7/30/07	DOR,Technical Analyst 1
1.1.1.13		DST/DLT Employee Data (2005)	0.5 days	Tue 7/31/07	Tue 7/31/07	Technical Analyst 1,DOR
1.1.1.14		Misc. Tax Types Load (3 yrs)	0.5 days	Tue 7/31/07	Tue 7/31/07	Technical Analyst 1,DOR
1.1.2		Hardware/Software Requirements Assessment	10 days	Mon 7/23/07	Fri 8/3/07	DOR
1.2		**Project Dependencies**	34 days	Mon 10/1/07	Thu 11/15/07	
1.2.1		Start Project	1 day	Mon 10/1/07	Mon 10/1/07	Project Manager,DOR
1.2.2		Install and Test Hardware, Operating System	5 days	Fri 11/9/07	Thu 11/15/07	Installation Specialist,DOR
1.2.3		Office Space Setup	1 day	Tue 10/2/07	Tue 10/2/07	Project Manager,DOR
1.3		**Project Management**	334 days	Mon 10/1/07	Fri 1/9/09	
1.3.1		Create Project Management Plan	10 days	Thu 10/11/07	Wed 10/24/07	Project Manager[50%]
1.3.2		Deliverable 1 - Project Management Plan	0 days	Wed 10/24/07	Wed 10/24/07	Project Manager
1.3.3		Verify Documentation Needs	10 days	Thu 10/25/07	Wed 11/7/07	Project Manager[50%]
1.3.4		Overall Project Management	334 days	Tue 10/2/07	Fri 1/9/09	Project Manager[75%]
1.3.5		Establish Executive Steering Committee	0 days	Mon 10/1/07	Mon 10/1/07	Project Oversight
1.3.6		Provide Executive Steering Committee Oversight	334 days	Tue 10/2/07	Fri 1/9/09	Project Oversight[5%]
1.3.7		Create Security Plan	10 days	Thu 11/8/07	Wed 11/21/07	Project Manager[50%]

1.3.8	Deliverable 2 - Security Plan	0 days	Wed 11/21/07	Wed 11/21/07	Project Manager
1.3.9	Project Oversite & Training	334 days	Tue 10/2/07	Fri 1/9/09	
1.3.9.1	Installation Oversight	40 days	Fri 11/16/07	Thu 1/10/08	Configuration Specialist 1[25%]
1.3.9.2	Data Mapping Oversight	220 days	Thu 10/4/07	Wed 8/6/08	Configuration Specialist 1[25%]
1.3.9.3	RSI Project Oversight	334 days	Tue 10/2/07	Fri 1/9/09	Project Oversight[5%]
1.3.10	Project Familiarization	7 days	Tue 10/2/07	Wed 10/10/07	
1.3.10.1	Review Statement of Work, Contractual Responsibilities	2 days	Tue 10/2/07	Wed 10/3/07	Configuration Specialist 1[50%],Project Manager
1.3.10.2	Review Master Project Plan	1 day	Thu 10/4/07	Thu 10/4/07	Configuration Specialist 1[50%],Project Manager
1.3.10.3	Technical Architecture Infrastructure Validation	2 days	Fri 10/5/07	Mon 10/8/07	Configuration Specialist 1[50%],Project Manager
1.3.10.4	Determine Data Source Load Order	2 days	Tue 10/9/07	Wed 10/10/07	Configuration Specialist 1[50%],Project Manager
1.4	Software Installation	179 days	Thu 11/15/07	Tue 7/22/08	
1.4.1	DiscoverTax Installation - Development	13.95 days	Fri 11/16/07	Wed 12/5/07	
1.4.1.1	Install DiscoverTax Application	6.75 days	Fri 11/16/07	Mon 11/26/07	
1.4.1.1.1	Install Components	4 days	Fri 11/16/07	Wed 11/21/07	Installation Specialist
1.4.1.1.2	Install Oracle RDBMS	0.75 days	Thu 11/22/07	Thu 11/22/07	Installation Specialist

1.4.1.1.3	Configure Site Specific Parameters	2 days	Thu 11/22/07	Mon 11/26/07	Installation Specialis
1.4.1.2	Assembly Test Application	4 days	Mon 11/26/07	Fri 11/30/07	
1.4.1.2.1	Test connectivity	2 days	Mon 11/26/07	Wed 11/28/07	Installation Specialis
1.4.1.2.2	Test operability	2 days	Wed 11/28/07	Fri 11/30/07	Installation Specialis
1.4.1.3	Test DiscoverTax Data Model Build	2.7 days	Fri 11/30/07	Wed 12/5/07	
1.4.1.3.1	Test DiscoverTax Data Warehouse Create Scripts	1 day	Fri 11/30/07	Mon 12/3/07	Installation Specialist
1.4.1.3.2	Test Database Create Script	0.1 days	Mon 12/3/07	Mon 12/3/07	Installation Specialist
1.4.1.3.3	Test Table Space Create Script	0.1 days	Mon 12/3/07	Mon 12/3/07	Installation Specialist
1.4.1.3.4	Test Table Create Scripts	0.1 days	Mon 12/3/07	Tue 12/4/07	Installation Specialist
1.4.1.3.5	Test Index Create Scripts	0.1 days	Tue 12/4/07	Tue 12/4/07	Installation Specialist
1.4.1.3.6	Test DiscoverTax Client Connectivity	0.7 days	Tue 12/4/07	Tue 12/4/07	Installation Specialist
1.4.1.3.7	Test DiscoverTax Security Auditing	0.2 days	Tue 12/4/07	Wed 12/5/07	Installation Specialist
1.4.1.3.8	Test DiscoverTax Meta Data Create Script	0.2 days	Wed 12/5/07	Wed 12/5/07	Installation Specialist
1.4.1.3.9	Test Data Source Form Codes Script	0.2 days	Wed 12/5/07	Wed 12/5/07	Installation Specialist

1.4.1.4	Create DiscoverTax Data Warehouse	0.5 days	Wed 12/5/07	Wed 12/5/07	
1.4.1.4.1	Run in Development - Database Create Script	0 days	Wed 12/5/07	Wed 12/5/07	Installation Specialist
1.4.1.4.2	Run in Development Table space Create Script	0 days	Wed 12/5/07	Wed 12/5/07	Installation Specialist
1.4.1.4.3	Run in Development - Table Create Scripts	0 days	Wed 12/5/07	Wed 12/5/07	Installation Specialist
1.4.1.4.4	Run in Development - Index Create Scripts	0 days	Wed 12/5/07	Wed 12/5/07	Installation Specialist
1.4.1.4.5	Run in Development - Meta Data Create Script	0 days	Wed 12/5/07	Wed 12/5/07	Installation Specialist
1.4.1.4.6	Run in Development - Data Source Form Codes Script	0.5 days	Wed 12/5/07	Wed 12/5/07	Installation Specialist
1.4.1.4.7	Deliverable 3 - DiscoverTax Software License Signed	0 days	Wed 12/5/07	Wed 12/5/07	Project Manager
1.4.2	DiscoverTax Installation - Test	13.95 days	Wed 12/5/07	Tue 12/25/07	
1.4.2.1	Install DiscoverTax Application	6.75 days	Wed 12/5/07	Fri 12/14/07	
1.4.2.1.1	Install Components	4 days	Wed 12/5/07	Tue 12/11/07	Installation Specialist
1.4.2.1.2	Install Oracle RDBMS	0.75 days	Tue 12/11/07	Wed 12/12/07	Installation Specialist
1.4.2.1.3	Configure Site	2 days	Wed 12/12/07	Fri 12/14/07	Installation Specialist

	Specific Parameters				
1.4.2.2	Assembly Test Application	4 days	Fri 12/14/07	Thu 12/20/07	
1.4.2.2.1	Test connectivity	2 days	Fri 12/14/07	Tue 12/18/07	Installation Specialist
1.4.2.2.2	Test operability	2 days	Tue 12/18/07	Thu 12/20/07	Installation Specialist
1.4.2.3	Test DiscoverTax Data Model Build	2.7 days	Thu 12/20/07	Tue 12/25/07	
1.4.2.3.1	Test DiscoverTax Data Warehouse Create Scripts	1 day	Thu 12/20/07	Fri 12/21/07	Installation Specialist
1.4.2.3.2	Test Database Create Script	0.1 days	Fri 12/21/07	Fri 12/21/07	Installation Specialist
1.4.2.3.3	Test Table Space Create Script	0.1 days	Fri 12/21/07	Fri 12/21/07	Installation Specialist
1.4.2.3.4	Test Table Create Scripts	0.1 days	Fri 12/21/07	Fri 12/21/07	Installation Specialist
1.4.2.3.5	Test Index Create Scripts	0.1 days	Mon 12/24/07	Mon 12/24/07	Installation Specialist
1.4.2.3.6	Test DiscoverTax Client Connectivity	0.7 days	Mon 12/24/07	Mon 12/24/07	Installation Specialist
1.4.2.3.7	Test DiscoverTax Security Auditing	0.2 days	Mon 12/24/07	Mon 12/24/07	Installation Specialist
1.4.2.3.8	Test DiscoverTax Meta Data Create Script	0.2 days	Tue 12/25/07	Tue 12/25/07	Installation Specialist
1.4.2.3.9	Test Data Source Form Codes Script	0.2 days	Tue 12/25/07	Tue 12/25/07	Installation Specialist
1.4.2.4	Create	0.5 days	Tue 12/25/07	Tue 12/25/07	

	DiscoverTax Data Warehouse				
1.4.2.4.1	Run in Development - Database Create Script	0 days	Tue 12/25/07	Tue 12/25/07	Installation Specialist
1.4.2.4.2	Run in Development - Table space Create Script	0 days	Tue 12/25/07	Tue 12/25/07	Installation Specialist
1.4.2.4.3	Run in Development - Table Create Scripts	0 days	Tue 12/25/07	Tue 12/25/07	Installation Specialist
1.4.2.4.4	Run in Development - Index Create Scripts	0 days	Tue 12/25/07	Tue 12/25/07	Installation Specialist
1.4.2.4.5	Run in Development - Meta Data Create Script	0 days	Tue 12/25/07	Tue 12/25/07	Installation Specialist
1.4.2.4.6	Run in Development - Data Source Form Codes Script	0.5 days	Tue 12/25/07	Tue 12/25/07	Installation Specialist
1.4.3	**DiscoverTax Installation - Production**	13.85 days	Tue 12/25/07	Mon 1/14/08	
1.4.3.1	**Install DiscoverTax Application**	6.75 days	Tue 12/25/07	Thu 1/3/08	
1.4.3.1.1	Install Components	4 days	Tue 12/25/07	Mon 12/31/07	Installation Specialist
1.4.3.1.2	Install Oracle RDBMS	0.75 days	Mon 12/31/07	Tue 1/1/08	Installation Specialist
1.4.3.1.3	Configure Site Specific Parameters	2 days	Tue 1/1/08	Thu 1/3/08	Installation Specialist
1.4.3.2	**Assembly Test Application**	4 days	Thu 1/3/08	Wed 1/9/08	

1.4.3.2.1	Test connectivity	2 days	Thu 1/3/08	Mon 1/7/08	Installation Specialist
1.4.3.2.2	Test operability	2 days	Mon 1/7/08	Wed 1/9/08	Installation Specialist
1.4.3.3	Test DiscoverTax Data Model Build	? 1 days	Wed 1/9/08	Fri 1/11/08	
1.4.3.3.1	Test DiscoverTax Data Warehouse Create Scripts	1 day	Wed 1/9/08	Thu 1/10/08	Installation Specialist
1.4.3.3.2	Test Database Create Script	0.1 days	Thu 1/10/08	Thu 1/10/08	Installation Specialist
1.4.3.3.3	Test Table Space Create Script	0.1 days	Thu 1/10/08	Thu 1/10/08	Installation Specialist
1.4.3.3.4	Test Table Create Scripts	0.1 days	Thu 1/10/08	Thu 1/10/08	Installation Specialist
1.4.3.3.5	Test Index Create Scripts	0.1 days	Thu 1/10/08	Fri 1/11/08	Installation Specialist
1.4.3.3.6	Test DiscoverTax Client Connectivity	0.1 days	Fri 1/11/08	Fri 1/11/08	Installation Specialist
1.4.3.3.7	Test DiscoverTax Security Auditing	0.2 days	Fri 1/11/08	Fri 1/11/08	Installation Specialist
1.4.3.3.8	Test DiscoverTax Meta Data Create Script	0.2 days	Fri 1/11/08	Fri 1/11/08	Installation Specialist
1.4.3.3.9	Test Data Source Form Codes Script	0.2 days	Fri 1/11/08	Fri 1/11/08	Installation Specialist
1.4.3.4	Create DiscoverTax Data Warehouse	1 day	Fri 1/11/08	Mon 1/14/08	
1.4.3.4.1	Run in Production - Database	0.1 days	Fri 1/11/08	Fri 1/11/08	Installation Specialist

	Create Script				
1.4.3.4.2	Run in Production - Table space Create Script	0.1 days	Fri 1/11/08	Fri 1/11/08	Installation Specialist
1.4.3.4.3	Run in Production - Table Create Scripts	0.1 days	Fri 1/11/08	Mon 1/14/08	Installation Specialist
1.4.3.4.4	Run in Production - Index Create Scripts	0.1 days	Mon 1/14/08	Mon 1/14/08	Installation Specialist
1.4.3.4.5	Run in Production - Meta Data Create Script	0.1 days	Mon 1/14/08	Mon 1/14/08	Installation Specialist
1.4.3.4.6	Run in Production - Data Source Form Codes Script	0.5 days	Mon 1/14/08	Mon 1/14/08	Installation Specialist
1.4.4	**DTAX Upgrade to 2.7**	6 days	Thu 11/15/07	Thu 11/22/07	
1.4.4.1	Install in Development	1 day	Thu 11/15/07	Thu 11/15/07	Installation Specialist
1.4.4.2	Test in Development	1 day	Fri 11/16/07	Fri 11/16/07	Installation Specialist
1.4.4.3	Install in Test	1 day	Mon 11/19/07	Mon 11/19/07	Installation Specialist
1.4.4.4	Test in Test	1 day	Tue 11/20/07	Tue 11/20/07	Installation Specialist
1.4.4.5	Install in Production	1 day	Wed 11/21/07	Wed 11/21/07	Installation Specialist
1.4.4.6	Test in Production	1 day	Thu 11/22/07	Thu 11/22/07	Installation Specialist
1.4.5	**DTAX Upgrade to 2.8**	6 days	Tue 7/15/08	Tue 7/22/08	
1.4.5.1	Install in Development	1 day	Tue 7/15/08	Tue 7/15/08	Installation Specialist
1.4.5.2	Test in Development	1 day	Wed 7/16/08	Wed 7/16/08	Installation Specialist
1.4.5.3	Install in Test	1 day	Thu 7/17/08	Thu 7/17/08	Installation Specialist

1.4.5.4	Test in Test	1 day	Fri 7/18/08	Fri 7/18/08	Installation Specialist
1.4.5.5	Install in Production	1 day	Mon 7/21/08	Mon 7/21/08	Installation Specialist
1.4.5.6	Test in Production	1 day	Tue 7/22/08	Tue 7/22/08	Installation Specialist
1.4.6	SAS Installation	126.63 days	Fri 12/21/07	Mon 6/16/08	
1.4.6.1	Install SAS Components	5 days	Fri 6/6/08	Fri 6/13/08	Installation Specialist[75%],SAS BI Expert 1[25%]
1.4.6.2	Test Connectivity to DiscoverTax Environments	1 day	Fri 6/13/08	Mon 6/16/08	SAS BI Expert 1[25%],Installation Specialist[75%]
1.4.6.3	Deliverable 4 - SAS Software Licenses Signed	0 days	Fri 12/21/07	Fri 12/21/07	Project Manager
1.5	**Phase A - Core Data Loads**	307.25 days	Wed 10/3/07	Mon 12/8/08	
1.5.1	**Analyze Data Sources**	150 days	Wed 10/3/07	Wed 4/30/08	
1.5.1.1	**Provide Data Source Extracts In ASCII Format on Server**	0 days	Wed 10/3/07	Wed 10/3/07	
1.5.1.1.1	Income Tax Load (3 yrs)	0 days	Wed 10/3/07	Wed 10/3/07	DOR
1.5.1.1.2	IMF/IRTF EY2005	0 days	Wed 10/3/07	Wed 10/3/07	DOR
1.5.1.1.3	W2 Load (3 yrs)	0 days	Wed 10/3/07	Wed 10/3/07	DOR
1.5.1.1.4	Motor Vehicle Licensing (3 Years)	0 days	Wed 10/3/07	Wed 10/3/07	DOR
1.5.1.1.5	IRMF EY2005	0 days	Wed 10/3/07	Wed 10/3/07	DOR
1.5.1.1.6	Income Tax Collections Load	0 days	Wed 10/3/07	Wed 10/3/07	DOR
1.5.1.1.7	Business Tax Load (3 yrs)	0 days	Wed 10/3/07	Wed 10/3/07	DOR
1.5.1.1.8	Business Tax	0 days	Wed 10/3/07	Wed 10/3/07	DOR

	Collections Load				
1.5.1.1.9	Corporate Tax Load (3 yrs)	0 days	Wed 10/3/07	Wed 10/3/07	DOR
1.5.1.1.10	Field Audit Load (3yrs)	0 days	Wed 10/3/07	Wed 10/3/07	DOR
1.5.1.1.11	Field Audit History Load (3yrs)	0 days	Wed 10/3/07	Wed 10/3/07	DOR
1.5.1.2	Gather Requirements for AIF Extensions	150 days	Thu 10/4/07	Wed 4/30/08	
1.5.1.2.1	Review Data Source Record Layouts / Data Dictionary	150 days	Thu 10/4/07	Wed 4/30/08	Technical Analyst 1[10%],Configuration Specialist 1[10%]
1.5.2	DiscoverTax ETL, Data Loading and Offline Process Configuration	307.25 days	Thu 10/4/07	Mon 12/8/08	
1.5.2.1	Perform Automatic Data Purification (Phase A)	200 days	Fri 1/18/08	Thu 10/23/08	DOR
1.5.2.2	Perform Internal Matches (Phase A)	200 days	Fri 1/18/08	Thu 10/23/08	DOR
1.5.2.3	Perform Manual Data Purification (Phase A)	200 days	Fri 1/18/08	Thu 10/23/08	DOR
1.5.2.4	Income Tax Load (3 yrs)	76 days	Thu 10/4/07	Thu 1/17/08	
1.5.2.4.1	Configure ETL Data Maps (Source to AIF, AIF to Data Warehouse)	23 days	Thu 10/4/07	Mon 11/5/07	
1.5.2.4.1.1	Develop Extraction and Refresh	10 days	Thu 10/4/07	Wed 10/17/07	Technical Analyst 1,DOR

	Approach				
1.5.2.4.1.2	Define & Approve Data Field Mapping, Cleansing & Parsing	5 days	Thu 10/18/07	Wed 10/24/07	Technical Analyst 1,Configuration Specialist 1
1.5.2.4.1.3	Configure ETL Map & Transformations	5 days	Thu 10/25/07	Wed 10/31/07	Technical Analyst 1
1.5.2.4.1.4	Identify and Document Changes (If Required) to DiscoverTax ERD & DDL	2 days	Thu 11/1/07	Fri 11/2/07	Technical Analyst 1
1.5.2.4.1.5	Update (If Required) DiscoverTax ERD & DDL	1 day	Mon 11/5/07	Mon 11/5/07	Technical Analyst 1
1.5.2.4.2	**Test Source to AIF Load**	2.5 days	Tue 11/6/07	Thu 11/8/07	
1.5.2.4.2.1	Test ETL Map for errors and warnings	0.5 days	Tue 11/6/07	Tue 11/6/07	Technical Analyst 1
1.5.2.4.2.2	Test AIF Data Load for data accuracy	2 days	Tue 11/6/07	Thu 11/8/07	Technical Analyst 1
1.5.2.4.3	**Test Associate & Grow (A&G)**	4 days	Tue 12/25/07	Mon 12/31/07	
1.5.2.4.3.1	Define and Configure A&G Match Key Rules	0.5 days	Tue 12/25/07	Wed 12/26/07	Technical Analyst 1
1.5.2.4.3.2	Modify Base DiscoverTax A&G Test Script	0.5 days	Wed 12/26/07	Wed 12/26/07	Technical Analyst 1
1.5.2.4.3.3	Test A&G for	1 day	Wed 12/26/07	Thu 12/27/07	Technical Analyst 1

	Data Accuracy				
1.5.2.4.3.4	Client Verification of Test Load	2 days	Thu 12/27/07	Mon 12/31/07	Technical Analyst 1
1.5.2.4.4	Data Source to AIF Load in Production	0.5 days	Thu 11/8/07	Fri 11/9/07	
1.5.2.4.4.1	Run in Production	12 hrs	Thu 11/8/07	Fri 11/9/07	CPU[67%]
1.5.2.4.5	Run A&G (AIF to Data Warehouse Load) in Production	3.25 days	Mon 1/14/08	Thu 1/17/08	
1.5.2.4.5.1	Run in Production	28 hrs	Mon 1/14/08	Tue 1/15/08	CPU[18%]
1.5.2.4.5.2	Client Verification of Production Load	1 day	Wed 1/16/08	Wed 1/16/08	DOR
1.5.2.4.5.3	Research Queue Validation	2 days	Wed 1/16/08	Thu 1/17/08	DOR
1.5.2.4.5.4	Deliverable 5 - Data Load #1	0 days	Thu 1/17/08	Thu 1/17/08	Technical Analyst 1
1.5.2.5	IMF/IRTF EY2005	16 days	Fri 1/18/08	Fri 2/8/08	
1.5.2.5.1	Configure ETL Data Maps (Source to AIF, AIF to Data Warehouse)	8 days	Fri 1/18/08	Tue 1/29/08	
1.5.2.5.1.1	Define & Approve Data Field Mapping, Cleansing & Parsing	2 days	Fri 1/18/08	Mon 1/21/08	Technical Analyst 1,Configuration Specialist 1
1.5.2.5.1.2	Configure	5 days	Tue 1/22/08	Mon 1/28/08	Technical Analyst 1

	ETL Map & Transformations				
1.5.2.5.1.3	Identify and Document Changes (If Required) to DiscoverTax ERD & DDL	0 days	Mon 1/28/08	Mon 1/28/08	Technical Analyst 1
1.5.2.5.1.4	Update (If Required) DiscoverTax ERD & DDL	1 day	Tue 1/29/08	Tue 1/29/08	Technical Analyst 1
1.5.2.5.2	**Test Source to AIF Load**	2.5 days	Wed 1/30/08	Fri 2/1/08	
1.5.2.5.2.1	Test ETL Map for errors and warnings	0.5 days	Wed 1/30/08	Wed 1/30/08	Technical Analyst 1
1.5.2.5.2.2	Test AIF Data Load for data accuracy	2 days	Wed 1/30/08	Fri 2/1/08	Technical Analyst 1
1.5.2.5.3	**Test Associate & Grow (A&G)**	4 days	Fri 2/1/08	Thu 2/7/08	
1.5.2.5.3.1	Define and Configure A&G Match Key Rules	0.5 days	Fri 2/1/08	Fri 2/1/08	Technical Analyst 1
1.5.2.5.3.2	Modify Base DiscoverTax A&G Test Script	0.5 days	Mon 2/4/08	Mon 2/4/08	Technical Analyst 1
1.5.2.5.3.3	Test A&G for Data Accuracy	1 day	Mon 2/4/08	Tue 2/5/08	Technical Analyst 1
1.5.2.5.3.4	Client Verification of Test Load	2 days	Tue 2/5/08	Thu 2/7/08	DOR
1.5.2.5.4	**Run Source to AIF Load in Production**	0.25 days	Fri 2/1/08	Fri 2/1/08	

ID	Task	Duration	Start	Finish	Resource
1.5.2.5.4.1	Run in Production	3 hrs	Fri 2/1/08	Fri 2/1/08 CPU[987%]	
1.5.2.5.5	Run A&G (AIF to Data Warehouse Load) in Production	1.5 days	Thu 2/7/08	Fri 2/8/08	
1.5.2.5.5.1	Run in Production	7 hrs	Thu 2/7/08	Thu 2/7/08 CPU[1,371%]	
1.5.2.5.5.2	Client Verification of Production Load	1 day	Fri 2/8/08	Fri 2/8/08 DOR	
1.5.2.5.5.3	Deliverable 6 - Data Load #2	0 days	Fri 2/8/08	Fri 2/8/08 Technical Analyst 1	
1.5.2.6	**W2 Load (3 yrs)**	32 days	Mon 2/11/08	Tue 3/25/08	
1.5.2.6.1	**Configure ETL Data Maps (Source to AIF, AIF to Data Warehouse)**	23 days	Mon 2/11/08	Wed 3/12/08	
1.5.2.6.1.1	Develop Extraction Approach	10 days	Mon 2/11/08	Fri 2/22/08	Technical Analyst 1,DOR
1.5.2.6.1.2	Define & Approve Data Field Mapping, Cleansing & Parsing	5 days	Mon 2/25/08	Fri 2/29/08	Technical Analyst 1
1.5.2.6.1.3	Configure ETL Map & Transformations	5 days	Mon 3/3/08	Fri 3/7/08	Technical Analyst 1
1.5.2.6.1.4	Identify and Document Changes (If Required) to DiscoverTax ERD & DDL	2 days	Mon 3/10/08	Tue 3/11/08	Technical Analyst 1

1.5.2.6.1.5	Update (If Required) DiscoverTax ERD & DDL	1 day	Wed 3/12/08	Wed 3/12/08	Technical Analyst 1
1.5.2.6.2	Test Source to AIF Load	2.5 days	Thu 3/13/08	Mon 3/17/08	
1.5.2.6.2.1	Test ETL Map for errors and warnings	0.5 days	Thu 3/13/08	Thu 3/13/08	Technical Analyst 1
1.5.2.6.2.2	Test AIF Data Load for data accuracy	2 days	Thu 3/13/08	Mon 3/17/08	Technical Analyst 1
1.5.2.6.3	Test Associate & Grow (A&G)	4 days	Mon 3/17/08	Fri 3/21/08	
1.5.2.6.3.1	Define and Configure A&G Match Key Rules	0.5 days	Mon 3/17/08	Mon 3/17/08	Technical Analyst 1
1.5.2.6.3.2	Modify Base DiscoverTax A&G Test Script	0.5 days	Tue 3/18/08	Tue 3/18/08	Technical Analyst 1
1.5.2.6.3.3	Test A&G for Data Accuracy	1 day	Tue 3/18/08	Wed 3/19/08	Technical Analyst 1
1.5.2.6.3.4	Client Verification of Test Load	2 days	Wed 3/19/08	Fri 3/21/08	Technical Analyst 1
1.5.2.6.4	Run Source to AIF Load in Production	0.25 days	Mon 3/17/08	Mon 3/17/08	
1.5.2.6.4.1	Run in Production	3 hrs	Mon 3/17/08	Mon 3/17/08	CPU[320%]
1.5.2.6.5	Run A&G (AIF to Data Warehouse Load) in Production	2.5 days	Fri 3/21/08	Tue 3/25/08	
1.5.2.6.5.1	Run in Production	7 hrs	Fri 3/21/08	Fri 3/21/08	CPU[343%]

1.5.2.6.5.2	Client Verification of Production Load	1 day	Mon 3/24/08	Mon 3/24/03	Technical Analyst 1
1.5.2.6.5.3	Research Queue Validation	2 days	Mon 3/24/08	Tue 3/25/08	DOR
1.5.2.6.5.2	Deliverable 7 Client Verification of Production Load	1 day	Mon 3/24/08	Mon 3/24/08	Technical Analyst 1
1.5.2.6.5.3	Research Queue Validation	2 days	Mon 3/24/08	Tue 3/25/08	DOR
1.5.2.6.5.4	Deliverable 7 - Data Load #3	0 days	Tue 3/25/08	Tue 3/25/08	Technical Analyst 1
1.5.2.7	**Motor Vehicle Licensing (3yrs)**	21 days	Wed 3/26/08	Wed 4/23/08	
1.5.2.7.1	**Configure ETL Data Maps (Source to AIF, AIF to Data Warehouse)**	8 days	Wed 3/26/08	Fri 4/4/08	
1.5.2.7.1.1	Define & Approve Data Field Mapping, Cleansing & Parsing	4 days	Wed 3/26/08	Mon 3/31/08	Technical Analyst 1
1.5.2.7.1.2	Configure ETL Map & Transformations	4 days	Tue 4/1/08	Fri 4/4/08	Technical Analyst 1
1.5.2.7.2	**Test Source to AIF Load**	4 days	Mon 4/7/08	Thu 4/10/08	
1.5.2.7.2.1	Test ETL Map for errors and warnings	2 days	Mon 4/7/08	Tue 4/8/08	Technical Analyst 1
1.5.2.7.2.2	Test AIF Data Load for data accuracy	2 days	Wed 4/9/08	Thu 4/10/08	Technical Analyst 1

	A&G Match Key Rules				
1.5.2.7.3.2	Modify Base DiscoverTax A&G Test Script	0.5 days	Fri 4/11/08	Fri 4/11/08	Technical Analyst 1
1.5.2.7.3.3	Test A&G for Data Accuracy	3 days	Mon 4/14/08	Wed 4/16/08	Technical Analyst 1
1.5.2.7.3.4	Client Verification of Test Load	2 days	Thu 4/17/08	Fri 4/18/08	Technical Analyst 1
1.5.2.7.4	**Run Source to AIF Load in Production**	0 days	Fri 4/18/08	Fri 4/18/08	
1.5.2.7.4.1	Run in Production	3 hrs	Fri 4/18/08	Fri 4/18/08	CPU[5,000%]
1.5.2.7.5	**Run A&G (AIF to Data Warehouse Load) in Production**	3 days	Fri 4/18/08	Wed 4/23/08	
1.5.2.7.5.1	Run in Production	7 hrs	Fri 4/18/08	Sat 4/19/08	CPU[1,029%]
1.5.2.7.5.2	Client Verification of Production Load	1 day	Mon 4/21/08	Mon 4/21/08	Technical Analyst 1,DOR
1.5.2.7.5.3	Deliverable 8 - Data Load #4	0 days	Mon 4/21/08	Mon 4/21/08	Technical Analyst 1
1.5.2.7.5.4	Research Queue Validation	2 days	Tue 4/22/08	Wed 4/23/08	DOR
1.5.2.8	**IRMF TY2004**	19.5 days	Thu 4/24/08	Wed 5/21/08	
1.5.2.8.1	**Configure ETL Data Maps (Source to AIF, AIF to Data Warehouse)**	8 days	Thu 4/24/08	Mon 5/5/08	
1.5.2.8.1.1	Define &	2 days	Thu 4/24/08	Fri 4/25/08	Technical Analyst

	Approve Data Field Mapping, Cleansing & Parsing				1, Configuration Specialist 1
1.5.2.8.1.2	Configure ETL Map & Transformations	5 days	Mon 4/28/08	Fri 5/2/08	Technical Analyst 1
1.5.2.8.1.3	Identify and Document Changes (If Required) to DiscoverTax ERD & DDL	0 days	Fri 5/2/08	Fri 5/2/08	Technical Analyst 1
1.5.2.8.1.4	Update (If Required) DiscoverTax ERD & DDL	1 day	Mon 5/5/08	Mon 5/5/08	Technical Analyst 1
1.5.2.8.2	**Test Source to AIF Load**	2.5 days	Tue 5/6/08	Thu 5/8/08	
1.5.2.8.2.1	Test ETL Map for errors and warnings	0.5 days	Tue 5/6/08	Tue 5/6/08	Technical Analyst 1
1.5.2.8.2.2	Test AIF Data Load for data accuracy	2 days	Tue 5/6/08	Thu 5/8/08	Technical Analyst 1
1.5.2.8.3	**Test Associate & Grow (A&G)**	4 days	Thu 5/8/08	Wed 5/14/08	
1.5.2.8.3.1	Define and Configure A&G Match Key Rules	0.5 days	Thu 5/8/08	Thu 5/8/08	Technical Analyst 1
1.5.2.8.3.2	Modify Base DiscoverTax A&G Test Script	0.5 days	Fri 5/9/08	Fri 5/9/08	Technical Analyst 1
1.5.2.8.3.3	Test A&G for Data Accuracy	1 day	Fri 5/9/08	Mon 5/12/08	Technical Analyst 1

1.5.2.8.3.4	Client Verification of Test Load	2 days	Mon 5/12/08	Wed 5/14/08	DOR
1.5.2.8.4	Run Source to AIF Load in Production	1.5 days	Thu 5/8/08	Fri 5/9/08	
1.5.2.8.4.1	Run in Production	29 hrs	Thu 5/8/08	Fri 5/9/08	CPU
1.5.2.8.5	Run A&G (AIF to Data Warehouse Load) in Production	5 days	Wed 5/14/08	Wed 5/21/08	
1.5.2.8.5.1	Run in Production	18 days	Wed 5/14/08	Tue 5/20/08	CPU
1.5.2.8.5.2	Client Verification of Production Load	1 day	Tue 5/20/08	Wed 5/21/08	DOR
1.5.2.8.5.3	Deliverable 9 - Data Load #5	0 days	Wed 5/21/08	Wed 5/21/08	Technical Analyst 1
1.5.2.9	Income Tax Collections Load	27.13 days	Wed 5/21/08	Fri 6/27/08	
1.5.2.9.1	Develop Extraction and Refresh Approach	5 days	Wed 5/21/08	Wed 5/28/08	Technical Analyst 1,DOR
1.5.2.9.2	Design/Develop Case Management File Extract	5 days	Wed 5/28/08	Wed 6/4/08	Technical Analyst 1
1.5.2.9.3	Design Stored Procedures	5 days	Wed 6/4/08	Wed 6/11/08	Technical Analyst 1
1.5.2.9.4	Develop Stored Procedures	7 days	Wed 6/11/08	Fri 6/20/08	Technical Analyst 1
1.5.2.9.5	Test Stored Procedures	5 days	Fri 6/20/08	Fri 6/27/08	Technical Analyst 1,DOR
1.5.2.9.6	Production Run	1 hr	Fri 6/27/08	Fri 6/27/08	Technical Analyst 1
1.5.2.10	Business Tax Load (3 yrs)	24.38 days	Fri 6/27/08	Thu 7/31/08	

ID	Task	Duration	Start	Finish	Resource
1.5.2.10.1	Configure ETL Data Maps (Source to AIF, AIF to Data Warehouse)	14 days	Fri 6/27/08	Thu 7/17/08	
1.5.2.10.1.1	Develop Extraction and Refresh Approach	10 days	Fri 6/27/08	Fri 7/11/08	Technical Analyst 1,DOR
1.5.2.10.1.2	Define & Approve Data Field Mapping, Cleansing & Parsing	2 days	Fri 7/11/08	Tue 7/15/08	Technical Analyst 1
1.5.2.10.1.3	Configure ETL Map & Transformations	2 days	Tue 7/15/08	Thu 7/17/08	Technical Analyst 1
1.5.2.10.2	**Test Source to AIF Load**	5.38 days	Thu 7/17/08	Thu 7/24/08	
1.5.2.10.2.1	Test ETL Map for errors and warnings	1 day	Thu 7/17/08	Fri 7/18/08	Technical Analyst 1
1.5.2.10.2.2	Test AIF Data Load for data accuracy	4 days	Mon 7/21/08	Thu 7/24/08	Technical Analyst 1
1.5.2.10.3	**Test Associate & Grow (A&G)**	3 days	Fri 7/25/08	Tue 7/29/08	
1.5.2.10.3.1	Test A&G for Data Accuracy	1 day	Fri 7/25/08	Fri 7/25/08	Technical Analyst 1
1.5.2.10.3.2	Client Verification of Test Load	2 days	Mon 7/28/08	Tue 7/29/08	Technical Analyst 1
1.5.2.10.4	**Run Source to AIF Load in Production**	0 days	Thu 7/24/08	Thu 7/24/08	
1.5.2.10.4.1	Run in	6 hrs	Thu 7/24/08	Thu 7/24/08	CPU[17%]

	Production				
1.5.2.10.5	Data A&G (ABT to Data Warehouse Extract) for Production	2 days	Tue 7/29/08	Thu 7/31/08	
1.5.2.10.5.1	Run in Production	14 hrs	Tue 7/29/08	Wed 7/30/08	CPU[34%]
1.5.2.10.5.2	Client Verification of Production Load	1 day	Wed 7/30/08	Wed 7/30/08	Technical Analyst 1,DOR
1.5.2.10.5.3	Research Queue Validation	2 days	Wed 7/30/08	Thu 7/31/08	DOR
1.5.2.10.5.4	Deliverable 11 - Data Load #8	0 days	Thu 7/31/08	Thu 7/31/08	Technical Analyst 1
1.5.2.11	**Business Tax Collections Load**	24.63 days	Fri 8/1/08	Thu 9/4/08	
1.5.2.11.1	Develop Extraction and Refresh Approach	5 days	Fri 8/1/08	Thu 8/7/08	Technical Analyst 1,DOR
1.5.2.11.2	Design/Develop Case Management File Extract	5 days	Fri 8/8/08	Thu 8/14/08	Technical Analyst 1
1.5.2.11.3	Design Stored Procedures	5 days	Fri 8/15/08	Thu 8/21/08	Technical Analyst 1
1.5.2.11.4	Develop Stored Procedures	7 days	Fri 8/22/08	Mon 9/1/08	Technical Analyst 1
1.5.2.11.5	Test Stored Procedures	2.5 days	Tue 9/2/08	Thu 9/4/08	Technical Analyst 1,DOR
1.5.2.11.6	Production Run	1 hr	Thu 9/4/08	Thu 9/4/08	CPU
1.5.2.11.7	Deliverable 10 - Data Load #6-#7	0 days	Thu 9/4/08	Thu 9/4/08	Technical Analyst 1
1.5.2.12	**Corporate Tax Load (3 yrs)**	20.38 days	Thu 9/4/08	Thu 10/2/08	
1.5.2.12.1	**Configure**	13 days	Thu 9/4/08	Tue 9/23/08	

	ETL Data Maps (Source to AIF, AIF to Data Warehouse)				
1.5.2.12.1.1	Develop Extraction and Refresh Approach	10 days	Thu 9/4/08	Thu 9/18/08	Technical Analyst 1,DOR
1.5.2.12.1.2	Define & Approve Data Field Mapping, Cleansing & Parsing	1 day	Thu 9/18/08	Fri 9/19/08	Technical Analyst 1,Configuration Specialist 1
1.5.2.12.1.3	Configure ETL Map & Transformations	1 day	Fri 9/19/08	Mon 9/22/08	Technical Analyst 1
1.5.2.12.1.4	Identify and Document Changes (If Required) to DiscoverTax ERD & DDL	0.5 days	Mon 9/22/08	Tue 9/23/08	Technical Analyst 1
1.5.2.12.1.5	Update (If Required) DiscoverTax ERD & DDL	0.5 days	Tue 9/23/08	Tue 9/23/08	Technical Analyst 1
1.5.2.12.2	**Test Source to AIF Load**	2 days	Tue 9/23/08	Thu 9/25/08	
1.5.2.12.2.1	Test ETL Map for errors and warnings	1 day	Tue 9/24/08	Wed 9/24/08	Technical Analyst 1
1.5.2.12.2.2	Test AIF Data Load for data accuracy	1 day	Wed 9/24/08	Thu 9/25/08	Technical Analyst 1
1.5.2.12.3	**Test Associate & Grow (A&G)**	3.5 days	Thu 9/25/08	Wed 10/1/08	
1.5.2.12.3.1	Define and Configure	0.5 days	Thu 9/25/08	Fri 9/26/08	Technical Analyst 1

	A&G Match Key Rules				
1.5.2.12.3.2	Modify Base Discover Tax A&G Test Script	0.5 days	Fri 9/26/08	Fri 9/26/08	Technical Analyst 1
1.5.2.12.3.3	Test A&G for Data Accuracy	0.5 days	Fri 9/26/08	Mon 9/29/08	Technical Analyst 1
1.5.2.12.3.4	Client Verification of Test Load	2 days	Mon 9/29/08	Wed 10/1/08	DOR
1.5.2.12.4	**Run Source to AIF Load in Production**	0.38 days	Thu 9/25/08	Thu 9/25/08	
1.5.2.12.4.1	Run in Production	6 hrs	Thu 9/25/08	Thu 9/25/08	CPU[83%]
1.5.2.12.5	**Run A&G (AIF to Data Warehouse Load) in Production**	1.88 days	Wed 10/1/08	Thu 10/2/08	
1.5.2.12.5.1	Run in Production	14 hrs	Wed 10/1/08	Wed 10/1/08	CPU[36%]
1.5.2.12.5.2	Client Verification of Production Load	1 day	Thu 10/2/08	Thu 10/2/08	DOR
1.5.2.12.5.3	Research Queue Validation	1 day	Thu 10/2/08	Thu 10/2/08	DOR
1.5.2.12.5.4	Deliverable 12 Data Load #9	0 days	Thu 10/2/08	Thu 10/2/08	Technical Analyst 1
1.5.2.13	**Field Audit Load (3yrs)**	24.13 days	Fri 10/3/08	Thu 11/6/08	
1.5.2.13.1	Develop Extraction and Refresh Approach	5 days	Fri 10/3/08	Thu 10/9/08	Technical Analyst 1,DOR
1.5.2.13.2	Design/Develop Audit Case File	2 days	Fri 10/10/08	Mon 10/13/08	Technical Analyst 1

	Downloads				
1.5.2.13.3	Design	5 days	Tue 10/14/08	Mon 10/20/08	Technical Analyst 1
1.5.2.13.4	Develop	7 days	Tue 10/21/08	Wed 10/29/08	Technical Analyst 1
1.5.2.13.5	Test	5 days	Thu 10/30/08	Wed 11/5/08	Technical Analyst 1
1.5.2.13.6	Production Run	1 hr	Wed 11/5/08	Thu 11/6/08	CPU
1.5.2.14	Field Audit History Load (3yrs)	22.13 days	Thu 11/6/08	Mon 12/8/08	
1.5.2.14.1	Develop Extraction Approach	3 days	Thu 11/6/08	Tue 11/11/08	Technical Analyst 1,DOR
1.5.2.14.2	Design/Develop Audit Case File Downloads	2 days	Tue 11/11/08	Thu 11/13/08	Technical Analyst 1
1.5.2.14.3	Design	5 days	Thu 11/13/08	Thu 11/20/08	Technical Analyst 1
1.5.2.14.4	Develop	7 days	Thu 11/20/08	Mon 12/1/08	Technical Analyst 1
1.5.2.14.5	Test	5 days	Mon 12/1/08	Mon 12/8/08	Technical Analyst 1
1.5.2.14.6	Production Run	1 hr	Mon 12/8/08	Mon 12/8/08	CPU
1.5.2.14.7	Deliverable 13 - Data Load #10-#11	0 days	Mon 12/8/08	Mon 12/8/08	Technical Analyst 1
1.6	Phase A - Compliance Program: Individual Non-Filer	72.25 days	Wed 5/21/08	Fri 8/29/08	
1.6.1	Design	18 days	Wed 5/21/08	Mon 6/16/08	
1.6.1.1	Primary Indicator	1 day	Wed 5/21/08	Thu 5/22/08	Configuration Specialist 1
1.6.1.2	Sign-Off Primary Indicator	1 day	Thu 5/22/08	Fri 5/23/08	DOR
1.6.1.3	Lead Selection	2 days	Wed 5/21/08	Fri 5/23/08	Configuration Specialist 1
1.6.1.4	Sign-Off: Lead Selection	2 days	Fri 5/23/08	Tue 5/27/08	DOR
1.6.1.5	TaxCalc	5 days	Fri 5/23/08	Fri 5/30/08	Configuration Specialist 1
1.6.1.6	Sign-Off: TaxCalc	2 days	Fri 5/30/08	Tue 6/3/08	DOR

1.6.1.7	Subpopulation Management	3 days	Fri 5/30/08	Wed 6/4/08	Configuration Specialist 1
1.6.1.8	Sign-Off Subpopulation Management	2 days	Wed 6/4/08	Fri 6/6/08	DOR
1.6.1.9	Interface	5 days	Wed 6/4/08	Thu 6/12/08	Configuration Specialist 1
1.6.1.10	Sign-Off Interface	2 days	Thu 6/12/08	Mon 6/16/08	DOR
1.6.2	**Development & Unit Test**	28.5 days	Mon 6/16/08	Thu 7/24/08	
1.6.2.1	**Primary Indicator**	4 days	Mon 6/16/08	Fri 6/20/08	
1.6.2.1.1	Enhance Primary Indicator Logic	3 days	Mon 6/16/08	Thu 6/19/08	Technical Analyst 1
1.6.2.1.2	Unit Test Primary Indicator Logic	1 day	Thu 6/19/08	Fri 6/20/08	Technical Analyst 1
1.6.2.2	**Lead Selection**	1 day	Fri 6/20/08	Mon 6/23/08	
1.6.2.2.1	Create Initial Selection	0.5 days	Fri 6/20/08	Fri 6/20/08	Technical Analyst 1
1.6.2.2.2	Unit Test Selection	0.5 days	Mon 6/23/08	Mon 6/23/08	Technical Analyst 1
1.6.2.3	**Tax Calc**	8 days	Mon 6/23/08	Thu 7/3/08	
1.6.2.3.1	Develop Tax Calc	1 day	Mon 6/23/08	Tue 6/24/08	Technical Analyst 1
1.6.2.3.2	Develop Necessary External Objects	4 days	Tue 6/24/08	Mon 6/30/08	Technical Analyst 1
1.6.2.3.3	Unit Test Tax Calc	3 days	Mon 6/30/08	Thu 7/3/08	Technical Analyst 1
1.6.2.4	**Identify Initial Sub-Populations**	1.5 days	Thu 7/3/08	Fri 7/4/08	
1.6.2.4.1	Create Initial Sub-Populations	0.5 days	Thu 7/3/08	Thu 7/3/08	Technical Analyst 1
1.6.2.4.2	Unit Test Population	1 day	Fri 7/4/08	Fri 7/4/08	Technical Analyst 1

	Selected for Pursuance				
1.6.2.5	Interface	14 days	Mon 7/7/08	Thu 7/24/08	
1.6.2.5.1	Create Interface	10 days	Mon 7/7/08	Fri 7/18/08	Technical Analyst 1
1.6.2.5.2	Unit Test Interface	4 days	Mon 7/21/08	Thu 7/24/08	Technical Analyst 1
1.6.3	System Test	31.5 days	Fri 6/20/08	Mon 8/4/08	
1.6.3.1	Primary Indicator	3 days	Fri 6/20/08	Wed 6/25/08	
1.6.3.1.1	Run Primary Indicator in Development	1 day	Fri 6/20/08	Mon 6/23/08	Technical Analyst 1
1.6.3.1.2	Client Verification of Results	2 days	Mon 6/23/08	Wed 6/25/08	DOR
1.6.3.2	**Lead Selection**	5 days	Wed 6/25/08	Wed 7/2/08	
1.6.3.2.1	Run Initial Selection in Development	0.5 days	Wed 6/25/08	Wed 6/25/08	Technical Analyst 1
1.6.3.2.2	Verify Initial Selection	0.5 days	Thu 6/26/08	Thu 6/26/08	Technical Analyst 1
1.6.3.2.3	Client Verification of Results	4 days	Thu 6/26/08	Wed 7/2/08	DOR
1.6.3.3	**Tax Calc**	6 days	Thu 7/3/08	Fri 7/11/08	
1.6.3.3.1	Run Tax Calc in Development	1 day	Thu 7/3/08	Fri 7/4/08	Technical Analyst 1
1.6.3.3.2	Client Verification of Results	5 days	Fri 7/4/08	Fri 7/11/08	DOR
1.6.3.4	**Verify Initial Sub-Populations**	5.5 days	Fri 7/11/08	Fri 7/18/08	
1.6.3.4.1	Create Initial Sub-Populations	0.5 days	Fri 7/11/08	Fri 7/11/08	Technical Analyst 1
1.6.3.4.2	Client Verification of Results	5 days	Mon 7/14/08	Fri 7/18/08	DOR
1.6.3.5	**Interface**	11 days	Mon 7/21/08	Mon 8/4/08	
1.6.3.5.1	Run Interface	1 day	Mon 7/21/08	Mon 7/21/08	Technical Analyst 1

1.6.3.5.2	System Test Interface	5 days	Tue 7/22/08	Mon 7/28/08	Technical Analyst 1
1.6.3.5.3	Client Verification of UAT Results	5 days	Tue 7/29/08	Mon 8/4/08 DOR	
1.6.4	Production	18.75 days	Mon 8/4/08	Fri 8/29/08	
1.6.4.1	Primary Indicator	2 days	Mon 8/4/08	Wed 8/6/08	
1.6.4.1.1	Run Primary Indicator in Production	0.5 days	Mon 8/4/08	Mon 8/4/08 CPU	
1.6.4.1.2	Client Verification	2 days	Tue 8/5/08	Wed 8/6/08 DOR	
1.6.4.2	Lead Selection	2 days	Wed 8/6/08	Fri 8/8/08	
1.6.4.2.1	Run Production Selection	0.5 days	Wed 8/6/08	Wed 8/6/08 CPU	
1.6.4.2.2	Client Validation of Selection	2 days	Thu 8/7/08	Fri 8/8/08 DOR	
1.6.4.3	Tax Calc	2 days	Fri 8/8/08	Tue 8/12/08	
1.6.4.3.1	Run Tax Calc in Production	1 day	Fri 8/8/08	Sat 8/9/08 CPU	
1.6.4.3.2	Client Verification	2 days	Mon 8/11/08	Tue 8/12/08 DOR	
1.6.4.4	**Run Initial Sub-Population Scripts**	2 days	Tue 8/12/08	Thu 8/14/08	
1.6.4.4.1	Create Initial Sub-Populations	0.5 days	Tue 8/12/08	Tue 8/12/08 CPU	
1.6.4.4.2	Client Verification of Results	2 days	Wed 8/14/08	Thu 8/14/08 DOR	
1.6.4.5	Interface	2 days	Thu 8/14/08	Mon 8/18/08	
1.6.4.5.1	Run Interface	0.5 days	Thu 8/14/08	Thu 8/14/08 CPU	
1.6.4.5.2	Client Verification	2 days	Fri 8/15/08	Mon 8/18/08 DOR	
1.6.4.5.3	Deliverable 16 - IRMF Compliance	0 days	Mon 8/18/08	Mon 8/18/08 Technical Analyst 1	

	Program				
1.6.4.6	Documentation	8.75 days	Tue 8/19/08	Fri 8/29/08	
1.6.4.6.1	Consolidate All Production Documentation	5 days	Tue 8/19/08	Fri 8/29/08	Technical Analyst 1
1.7	Phase A - Collections & Audit Selection/Scoring	80 days	Thu 9/4/08	Thu 12/25/08	
1.7.1	Collections Scoring Model Development	40 days	Thu 9/4/08	Thu 10/30/08	
1.7.1.1	JAD Sessions w/Senior Management and Collectors	5 days	Thu 9/4/08	Thu 9/11/08	SAS Modeller,Configuration Specialist 1[25%]
1.7.1.2	Development of Model	15 days	Thu 9/11/08	Thu 10/2/08	SAS Modeller,Configuration Specialist 1[25%]
1.7.1.3	Implementation of Model in DiscoverTax	10 days	Thu 10/2/08	Thu 10/16/08	SAS Modeller,Configuration Specialist 1[25%]
1.7.1.4	Gateway Configuration to Rev-Q and Mainframe Collection System	10 days	Thu 10/16/08	Thu 10/30/08	Configuration Specialist 1
1.7.2	**Audit Lead Selection Model Development**	40 days	Thu 10/30/08	Thu 12/25/08	
1.7.2.1	JAD Sessions Including Complexity Evaluation of Previous Audits	5 days	Thu 10/30/08	Thu 11/6/08	SAS Modeller,Configuration Specialist 1[25%]
1.7.2.2	Data Element Validation Against Sample	15 days	Thu 11/6/08	Thu 11/27/08	SAS Modeller,Configuration Specialist 1[25%]
1.7.2.3	Element View Definition and Knowledge Transfer	10 days	Thu 11/27/08	Thu 12/11/08	Configuration Specialist 1

1.7.2.4	Implementation in DiscoverTax	10 days	Thu 12/11/08	Thu 12/25/08	SAS Modeller,Configuration Specialist 1[25%]
1.7.2.5	Deliverable 14 - Case Scoring Implementation	0 days	Thu 12/25/08	Thu 12/25/08	Configuration Specialist 1
1.8	Phase A – Revenue Analysis and Reporting	50.38 days	Fri 6/27/08	Sat 9/6/08	
1.8.1	Research & Analysis	50.38 days	Fri 6/27/08	Sat 9/6/08	
1.8.1.1	OLAP Cube 1 - Individual Income Tax Return Processing	30.38 days	Fri 6/27/08	Sat 8/9/08	
1.8.1.1.1	Design	15 days	Fri 6/27/08	Fri 7/18/08	SAS BI Expert 1,Configuration Specialist 1[25%]
1.8.1.1.2	Develop	10 days	Fri 7/18/08	Fri 8/1/08	SAS BI Expert 1,Configuration Specialist 1[25%]
1.8.1.1.3	Test	5 days	Fri 8/1/08	Fri 8/8/08	SAS BI Expert 1,Configuration Specialist 1[25%]
1.8.1.1.4	Production Run	24 hrs	Fri 8/8/08	Sat 8/9/08	CPU[33%]
1.8.1.2	Statistics of Income Tax Report (Section 44-30-1.2)	20 days	Mon 8/11/08	Sat 9/6/08	
1.8.1.2.1	JAD Sessions & Design	5 days	Mon 8/11/08	Fri 8/15/08	SAS BI Expert 1,Configuration Specialist 1[25%]
1.8.1.2.2	BI Report Development	10 days	Mon 8/18/08	Fri 8/29/08	SAS BI Expert 1,Configuration Specialist 1[25%]
1.8.1.2.3	Test	5 days	Mon 9/1/08	Fri 9/5/08	SAS BI Expert 1,Configuration Specialist 1[25%]
1.8.1.2.4	Production Run	24 hrs	Fri 9/5/08	Sat 9/6/08	CPU[33%]
1.8.1.2.5	Deliverable 15 -	0 days	Sat 9/6/08	Sat 9/6/08	Configuration

	Phase A OLAP Cube/Reports				Specialist 1
1.9	Phase B - Additional Data Loads	50 days	Mon 12/8/08	Mon 2/16/09	
1.9.1	Baseline Data Extracts	1.5 days	Mon 12/8/08	Tue 12/9/08	
1.9.1.1	Misc. Tax Types (3 yrs)	0.5 days	Mon 12/8/08	Mon 12/8/08	DOR,Technical Analyst 1
1.9.1.2	Motor Vehicle Registrations (2005)	0.5 days	Mon 12/8/08	Tue 12/9/08	DOR,Technical Analyst 1
1.9.1.3	BRTF	0.5 days	Tue 12/9/08	Tue 12/9/08	Technical Analyst 1,DOR
1.9.2	Analyze Data Sources	0 days	Mon 12/8/08	Mon 12/8/08	
1.9.2.1	Phase Start	0 days	Mon 12/8/08	Mon 12/8/08	Project Manager
1.9.2.2	Provide Data Source Extracts In ASCII Format on Server	0 days	Mon 12/8/08	Mon 12/8/08	
1.9.2.2.1	Misc. Tax Types (3 yrs)	0 days	Mon 12/8/08	Mon 12/8/08	DOR
1.9.2.2.2	Motor Vehicle Registrations (2005)	0 days	Mon 12/8/08	Mon 12/8/08	DOR
1.9.2.2.3	BRTF	0 days	Mon 12/8/08	Mon 12/8/08	DOR
1.9.3	DiscoverTax ETL, Data Loading and Offline Process Configuration	50 days	Mon 12/8/08	Mon 2/16/09	
1.9.3.1	Perform Automatic Data Purification (Phase B)	50 days	Mon 12/8/08	Mon 2/16/09	DOR[25%]
1.9.3.2	Perform Internal Matches (Phase B)	50 days	Mon 12/8/08	Mon 2/16/09	DOR[25%]
1.9.3.3	Perform Manual Data Purification	50 days	Mon 12/8/08	Mon 2/16/09	DOR[25%]

	(Phase B)				
1.9.3.4	Miscellaneous Tax Types (3 years)	19.5 days	Mon 12/8/08	Fri 1/2/09	
1.9.3.4.1	Configure ETL Data Maps (Source to AIF, AIF to Data Warehouse)	8 days	Mon 12/8/08	Thu 12/18/08	
1.9.3.4.1.1	Define & Approve Data Field Mapping, Cleansing & Parsing	4 days	Mon 12/8/08	Fri 12/12/08	Technical Analyst 1
1.9.3.4.1.2	Configure ETL Map & Transformations	4 days	Fri 12/12/08	Thu 12/18/08	Technical Analyst 1
1.9.3.4.2	Test Source to AIF Load	4 days	Thu 12/18/08	Wed 12/24/08	
1.9.3.4.2.1	Test ETL Map for errors and warnings	2 days	Thu 12/18/08	Mon 12/22/08	Technical Analyst 1
1.9.3.4.2.2	Test AIF Data Load for data accuracy	2 days	Mon 12/22/08	Wed 12/24/08	Technical Analyst 1
1.9.3.4.3	Test Associate & Grow (A&G)	7.5 days	Wed 12/24/08	Fri 1/2/09	
1.9.3.4.3.1	Define and Configure A&G Match Key Rules	1.25 days	Wed 12/24/08	Thu 12/25/08	Technical Analyst 1
1.9.3.4.3.2	Modify Base DiscoverTax A&G Test Script	1.25 days	Thu 12/25/08	Fri 12/26/08	Technical Analyst 1
1.9.3.4.3.3	Test A&G for Data	3 days	Fri 12/26/08	Wed 12/31/08	Technical Analyst 1

	Accuracy				
1.9.3.4.3.4	Client Verification of Test Load	2 days	Wed 12/31/08	Fri 1/2/09	Technical Analyst 1,DOR
1.9.3.4.4	Run Source to AIF Load in Production	0.25 days	Wed 12/24/08	Wed 12/24/08	
1.9.3.4.4.1	Run in Production	2 hrs	Wed 12/24/08	Wed 12/24/08	CPU[1,200%]
1.9.3.4.5	Run A&G (AIF to Data Warehouse Load) in Production	3.5 days	Wed 12/24/08	Mon 12/29/08	
1.9.3.4.5.1	Run in Production	6 hrs	Wed 12/24/08	Wed 12/24/08	CPU[1,200%]
1.9.3.4.5.2	Client Verification of Production Load	1 day	Thu 12/25/08	Thu 12/25/08	Technical Analyst 1,DOR
1.9.3.4.5.3	Research Queue Validation	2 days	Fri 12/26/08	Mon 12/29/08	DOR
1.9.3.5	**Motor Vehicle Registrations (2005)**	22.75 days	Mon 12/8/08	Wed 1/7/09	
1.9.3.5.1	**Configure ETL Data Maps (Source to AIF, AIF to Data Warehouse)**	8 days	Mon 12/8/08	Thu 12/18/08	
1.9.3.5.1.1	Define & Approve Data Field Mapping, Cleansing & Parsing	4 days	Mon 12/8/08	Fri 12/12/08	Technical Analyst 1
1.9.3.5.1.2	Configure ETL Map & Transformations	4 days	Fri 12/12/08	Thu 12/18/08	Technical Analyst 1

1.9.3.5.2	Test Source to AIF Load	4 days	Thu 12/18/08	Wed 12/24/08	
1.9.3.5.2.1	Test WH Map for errors and warnings	2 days	Thu 12/18/08	Mon 12/22/08	Technical Analyst 1
1.9.3.5.2.2	Test AIF Data Load for data accuracy	2 days	Mon 12/22/08	Wed 12/24/08	Technical Analyst 1
1.9.3.5.3	Test Associate & Grow (A&G)	7.5 days	Wed 12/24/08	Fri 1/2/09	
1.9.3.5.3.1	Define and Configure A&G Match Key Rules	1.25 days	Wed 12/24/08	Thu 12/25/08	Technical Analyst 1
1.9.3.5.3.2	Modify Base DiscoverTax A&G Test Script	1.25 days	Thu 12/25/08	Fri 12/26/08	Technical Analyst 1
1.9.3.5.3.3	Test A&G for Data Accuracy	3 days	Fri 12/26/08	Wed 12/31/08	Technical Analyst 1
1.9.3.5.3.4	Client Verification of Test Load	2 days	Wed 12/31/08	Fri 1/2/09	Technical Analyst 1,DOR
1.9.3.5.4	**Run Source to AIF Load in Production**	0.25 days	Wed 12/24/08	Wed 12/24/08	
1.9.3.5.4.1	Run in Production	2 hrs	Wed 12/24/08	Wed 12/24/08	CPU[1,200%]
1.9.3.5.5	**Run A&G (AIF to Data Warehouse Load) in Production**	3.25 days	Fri 1/2/09	Wed 1/7/09	
1.9.3.5.5.1	Run in Production	6 hrs	Fri 1/2/09	Fri 1/2/09	CPU[1,200%]
1.9.3.5.5.2	Client Verification of Production Load	1 day	Mon 1/5/09	Mon 1/5/09	Technical Analyst 1,DOR

1.9.3.5.5.3	Research Queue Validation	2 days	Tue 1/6/09	Wed 1/7/09 DOR	
1.9.3.6	DROT	23.5 days	Thu 1/8/09	Thu 2/12/09	
1.9.3.6.1	Configure ETL Data Maps (Source to AIF, AIF to Data Warehouse)	8 days	Thu 1/8/09	Mon 1/19/09	
1.9.3.6.1.1	Define & Approve Data Field Mapping, Cleansing & Parsing	4 days	Thu 1/8/09	Tue 1/13/09	Technical Analyst 1
1.9.3.6.1.2	Configure ETL Map & Transformations	4 days	Wed 1/14/09	Mon 1/19/09	Technical Analyst 1
1.9.3.6.2	**Test Source to AIF Load**	7 days	Tue 1/20/09	Wed 1/28/09	
1.9.3.6.2.1	Test ETL Map for errors and warnings	2 days	Tue 1/20/09	Wed 1/21/09	Technical Analyst 1
1.9.3.6.2.2	Test AIF Data Load for data accuracy	5 days	Thu 1/22/09	Wed 1/28/09	Technical Analyst 1
1.9.3.6.3	**Test Associate & Grow (A&G)**	10.5 days	Thu 1/29/09	Thu 2/12/09	
1.9.3.6.3.1	Define and Configure A&G Match Key Rules	1.25 days	Thu 1/29/09	Fri 1/30/09	Technical Analyst 1
1.9.3.6.3.2	Modify Base DiscoverTax A&G Test Script	1.25 days	Fri 1/30/09	Mon 2/2/09	Technical Analyst 1
1.9.3.6.3.3	**Test A&G for Data**	3 days	Mon 2/2/09	Thu 2/5/09	Technical Analyst 1

	Accuracy				
1.9.3.6.3.4	Client Verification of Test Load	5 days	Mon 2/5/09	Thu 2/12/09 WOR	
1.9.3.6.4	Run Source to AIF Load in Production	0 days	Wed 1/28/09	Wed 1/28/09	
1.9.3.6.4.1	Run in Production	3 hrs	Wed 1/28/09	Wed 1/28/09	CPU[320%]
1.9.3.6.5	Run A&G (AIF to Data Warehouse Load) in Production	7.5 days	Wed 1/28/09	Mon 2/9/09	
1.9.3.6.5.1	Run in Production	3 hrs	Wed 1/28/09	Wed 1/28/09	CPU[2,400%]
1.9.3.6.5.2	Client Verification of Production Load	2.5 days	Thu 1/29/09	Mon 2/2/09	DOR
1.9.3.6.5.3	Research Queue Validation	5 days	Mon 2/2/09	Mon 2/9/09	DOR
1.9.3.6.5.4	Deliverable 17 - Data Loads #12-#14	0 days	Mon 2/9/09	Mon 2/9/09	Technical Analyst 1
1.10	**Phase B - Additional Revenue Analysis and Reporting**	50 days	Mon 9/8/08	Sat 11/15/08	
1.10.1	**Standard and Adhoc Report & BI Development**	25 days	Mon 9/8/08	Fri 10/10/08	
1.10.1.1	JAD Sessions & Design	5 days	Mon 9/8/08	Fri 9/12/08	SAS BI Expert 1,Configuration Specialist 1[25%]
1.10.1.2	BI Development (Adhoc query & forecasting tool deployment)	15 days	Mon 9/15/08	Fri 10/3/08	SAS BI Expert 1[75%],Configuration Specialist 1[25%]
1.10.1.3	Test	5 days	Mon 10/6/08	Fri 10/10/08	SAS BI Expert

					1,Configuration Specialist 1[25%]
1.10.1.4	Knowledge Transfer	13 days	Mon 9/15/08	Fri 10/3/08	SAS BI Expert 1[25%],Configuration Specialist 1[25%]
1.10.1.5	Production Run	24 hrs	Fri 10/3/08	Sat 10/4/08	CPU[33%]
1.10.2	Tax Expenditures Report (Section 44-48.1-1)	25 days	Mon 10/13/08	Sat 11/15/08	
1.10.2.1	IAD Sessions & Design	5 days	Mon 10/13/08	Fri 10/17/08	SAS BI Expert 1,Configuration Specialist 1[25%]
1.10.2.2	BI Report Development	15 days	Mon 10/20/08	Fri 11/7/08	SAS BI Expert 1,Configuration Specialist 1[25%]
1.10.2.3	Test	5 days	Mon 11/10/08	Fri 11/14/08	SAS BI Expert 1,Configuration Specialist 1[25%]
1.10.2.4	Production Run	24 hrs	Fri 11/14/08	Sat 11/15/08	CPU[33%]
1.10.2.5	Deliverable 18 - Phase B BI/Reports	0 days	Sat 11/15/08	Sat 11/15/08	Configuration Specialist 1
1.11	**Phase B - Training and Documentation**	42 days	Mon 10/13/08	Tue 12/9/08	
1.11.1	Update (If Required) DiscoverTax Training Material	4 days	Mon 10/13/08	Thu 10/16/08	Training Lead
1.11.2	Determine Client Users Per Role	4 days	Fri 10/17/08	Wed 10/22/08	Training Lead
1.11.3	Schedule Training Classes and Users	2 days	Thu 10/23/08	Fri 10/24/08	Training Lead
1.11.4	Schedule Training Facilities	2 days	Mon 10/27/08	Tue 10/28/08	Training Lead
1.11.5	Configure Training Environment	4 days	Wed 10/29/08	Mon 11/3/08	Training Lead
1.11.6	Prepare (Print) Training Material	4 days	Tue 11/4/08	Fri 11/7/08	Training Lead
1.11.7	Conduct Training Session(s)	10 days	Mon 11/10/08	Fri 11/21/08	Training Lead

1.11.8	Update Documentation Per Previously Defined Documentation Requirements	5 days	Mon 11/24/08	Fri 11/28/08	Training Lead
1.11.9	Deliverable 19 – DiscoverTax Training Execution/Training Material Delivery	0 days	Fri 11/28/08	Fri 11/28/08	Training Lead
1.11.10	Deliverable 20 DiscoverTax Documentation Delivery	0 days	Fri 11/28/08	Fri 11/28/08	Training Lead
1.11.11	**SAS Training and Documentation**	17 days	Mon 11/17/08	Tue 12/9/08	
1.11.11.1	Determine SAS Training and Documentation Needs	2 days	Mon 11/17/08	Tue 11/18/08	SAS BI Expert 1,Training Lead[25%]
1.11.11.2	Conduct SAS Training	5 days	Wed 11/19/08	Tue 11/25/08	SAS BI Expert 1,Training Lead[25%]
1.11.11.3	Develop and/or Obtain SAS Documentation	10 days	Wed 11/26/08	Tue 12/9/08	SAS BI Expert 1,Training Lead[25%]

Exhibit 2
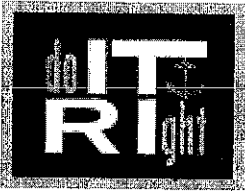
STATE OF RHODE ISLAND AND PROVIDENCE PLANTATIONS

Department of Administration
Division of Information Technology

One Capitol Hill
Providence, RI 02908

Change Management Procedure

Overview

Requestor Submits Request For Change (RFC)

- User/vendor/project submits request by email

- Supply standard contact information in addition to
    - RFC Initiator
    - Priority- this reflects lead time
    - Service Outage - are production services affected

- Proposed Change- provide enough detail for an overall understanding of items being introduced or changed and the relationship to other items or services

- Explanation of Impact on Services
    - List known or potential disruptions in service

- Scheduled Service Outages and Services Affected
    - List known or potential Service Outages
    - List specific services that will be affected

- Submission of Request for Change will be acknowledged by the Change Manager through email

Log & Classify (internal process)

- Review for completeness
    - Change Manager will reject or follow up

- A ticket is generated and sent to the requestor and implementation group

- The RFC is added to the Change Management Dashboard

Approval (internal process)

- Requestor will be notified with an approval or rejection, or the schedule of a Virtual Change Advisory Board

- All change, including urgent change, requires approval prior to implementation

Implementation

- Service Desk to notify users of scheduled service outages
  - Scheduled within maintenance windows if possible (Tues & Thurs 5-7pm)

- Implement Change

- If change is successful notify Change Manager
  - this will be reflected on the Change Management Dashboard as Implemented

- If Change is NOT Successful
  - Backout Change
  - Open an Incident if service works in a degraded fashion
  - Initiate urgent change if solution is known

Post Implementation

- Incidents caused by change must to be reported to the Service Desk

- Change owner or implementer must report unscheduled service disruptions

- The Service Desk follows up and closes change

Request For Change

Requestor:	_____	Date Submitted: _____
Contact #:	_____	Date Requested: _____
Department:	_____	Service Ticket # _____
Worked By:	_____	Date Completed: _____

RFC Initiator: _____ Service Request   _____ Project
              _____ Application/Development   _____ Incident/Problem

Priority: _____ Low   _____ High
              _____ Medium   _____ Immediate

Service Outage: _____ Yes   _____ No

Proposed Change:

Explanation of Impact:

Scheduled Service Outages and Services Affected:

Approvals:

Change Manager _____
Network Services _____
Security Service _____
Operations Manager _____

Documentation Required		Update Required		
Test Plan ___ Backout Plan ___		DR ___ Network Map ___ Procedures ___		

Internal Use Only:							
Category:		Major		Standard		Minor	Urgent

Email to: change@DoIT.ri.gov

Exhibit 3

Licensed Software

The DiscoverTax software specified in Exhibit A to the DiscoverTax License Agreement set forth as Appendix B to the Scope of Work.

APPENDIX B: DISCOVERTAX LICENSE AGREEMENT

The DiscoverTax License Agreement to be signed by RSI and the RI DOR is presented in the next page. This is the license agreement that is required to be signed by RSI prior to DiscoverTax software installation. Schedule 1 to Exhibit B details the list price for DiscoverTax Maintenance beyond the 2 year term of this contract. It does not represent the DiscoverTax Maintenance that was quoted to RI DOR in our proposal, which was listed at a significant discount from the listed rates found in Schedule 1 to Exhibit B. Additionally, Exhibit C presents the software list price of the mandatory components purchased by the RI DOR. The cost of the optional components has not been reflected in Exhibit C, but has been detailed in the RSI Cost Proposal.

DISCOVERTAX® LICENSE AGREEMENT

This DiscoverTax License Agreement ("Agreement") is made this 2nd day of October 2007 (the "Effective Date") by and between REVENUE SOLUTIONS, INC. ("Licensor" or "RSI"), a corporation formed under the laws of the Commonwealth of Massachusetts, with its principal place of business at 42 Winter Street, Pembroke, MA 02359, and State of Rhode Island, by and through the Department of Administration on behalf of the Deprtament of Revenue ("Licensee"), with its principal place of business at Providence, Rhode Island.

WHEREAS, Licensee wishes to obtain a nonexclusive right to use the software product developed by Licensor, and known as DiscoverTax;

WHEREAS, Upon Licensee's payment of the applicable licensing fees, to Licensor wishes to grant Licensee a nonexclusive, nontransferable (except to other divisions or departments in the State), fully paid, perpetual, royalty free license to permit Licensee to use the DiscoverTax software;

NOW THEREFORE, in consideration of the mutual covenants herein and other good and valuable consideration, the receipt and sufficiency of which is hereby acknowledged, Licensor and Licensee agree as follows:

1. Definitions

a. Licensed Software. The term "Licensed Software" means Licensor's proprietary DiscoverTax computer software program in object code form and as more fully described in Exhibit A hereto.

b. Authorized User(s). The term "Authorized User(s)" means those of Licensee's employees or approved contractors (whether an employee or contractor of the Department of Administration or the Department of Revenue) who are authorized by the terms of this License to use the Licensed Software.

c. Embedded Third Party Code. The term "Embedded Third Party Code" means code included as part of the Licensed Software that was developed by third parties other than Licensor.

d. Local Network System. The term "Local Network System" means multiple, interactive user terminals connected to a single database server, owned, leased, or operated by Licensee that is located at One Capitol Hill, Providence, Rhode Island.

e. Key Person. The term "Key Person" means a person affiliated with Licensee, designated by Licensee in Section 4 of this Agreement, and authorized by

Licensee (i) to receive, retain custody of, and to make one backup copy of the Licensed Software and updates of the Licensed Software; (ii) to coordinate and arrange for the provision of any technical support from Licensor needed in connection with the use of the Licensed Software; and (iii) to receive notice from Licensor concerning bulletins, updates, and supplements to the Licensed Software.

2. Licenses

(a) Production License. In accordance with the terms of this Agreement, Licensor grants to Licensee, and Licensee accepts from Licensor, a nonexclusive, non-sublicenseable, nontransferable (except to other departments and divisions of the State) license to: (i) load and run one copy of the Licensed Server Software listed in Exhibits A and C in machine readable form on one or more servers (as specified on Exhibit A) attached to the Local Network System for use only by Authorized Users; and (ii) permit no more than the number of Authorized Users specified in Exhibit C to use and access the Licensed Client Software listed in Exhibits A and C, subject to the terms and conditions of this Agreement. The production license granted herein does not extend to use of the Licensed Software in testing, development or training environments.

(b) Testing, Development and Training Licenses. Licensor has offered Licensee additional licensed use rights for the Licensed Software subject to the payment of additional license fees for each additional licensed use. For each additional use set forth below for which Licensee has paid license fees (as set forth on Exhibit C hereto), Licensor hereby grants Licensee additional license rights (as may be applicable) to:

(i) Development Use: load and run one copy of the Licensed Software on an additional server to be used for development purposes only;

(ii) Training Use: load and run one copy of the Licensed Software on an additional server to be used for training purposes only; and

(iii) Testing Use: load and run one copy of the Licensed Software on an additional server to be used for testing purposes only.

3. Ownership of Licensed Software

Licensor warrants and represents that, except for the Embedded Third Party Code, it is the sole owner and copyright holder of the Licensed Software. Licensor warrants and represents that it has the right and authority to grant the rights and licenses to the Licensed Software as set forth herein.

4. Installation, Maintenance and Technical Support

Licensor will install the Licensed Software on the Local Network System. Technical support for and maintenance of the Licensed Software and updates to the Licensed Software are subject to the terms and conditions of a separately executed

Licensed Software Maintenance and Support Addendum, a copy of which is attached hereto as Exhibit B. All requests for technical support must be made by Licensee's Key Person. For purposes of this Agreement, Licensee designates the following person to be its Key Person: Barbara Bisson, Administrator, Management Information Systems, or her designee . Licensee's Key Person can be reached at the following telephone number during regular business hours: (401) 222-6695. Licensee agrees to notify Licensor upon a change in the identity of its Key Person.

5. User Manuals and Documentation

a. Access to Manuals. Licensor acknowledges that the user manual is an integral part of the software that makes up the Licensed Software and is necessary for the proper use and application of the Licensed Software and updates to the Licensed Software. Licensor agrees to provide current user manuals and documentation with the Licensed Software for use by Authorized Users at terminals at which the Licensed Software can be accessed on the Local Network System. User manuals and documentation will be provided either by electronic transmission or on a machine readable medium.

b. Limited Right to Print or Copy Manual or User Documentation. The license granted in Section 2 of this Agreement does not include the right to copy the user manual or documentation for use with the Licensed Software. Provided, however, Licensee is permitted to print or make copies solely for use by Authorized Users. Licensee shall also have the right to print or make copies solely for the use of Licensee's employees or approved contractors (whether an employee or contractor of the Department of Administration or the Department of Revenue) for Licensee's business purposes and such duplication shall be subject to the restrictions on use and disclosure as are contained in this Agreement with respect to the originals. Licensee acknowledges and agrees to advise Authorized Users that any unauthorized duplication of the manual, documentation, or updates thereto is prohibited by law, and constitutes an infringement of Licensor's copyright.

6. Title to and Rights in Licensed Software

a. Proprietary Rights. The Licensed Software and updates of the Licensed Software are proprietary in part to Licensor and in part to the owners of the Embedded Third Party Code, and title to the Licensed Software, and updates thereto, is and shall remain with them. All applicable common law and statutory rights in and to the Licensed Software and updates of the Licensed Software, including, but not limited to, rights in confidential and trade secret material, source code, object code, trademarks, service marks, patents, and copyrights, shall be and will remain the property of Licensor or the owners of the Embedded Third Party Code. Licensee shall have no right, title, or interest in such proprietary rights. Notwithstanding anything contained to the contrary herein , Licensee is granted a sublicense to any such third party software.

b. Restrictions. Licensee, and any person acting on Licensee's behalf, are prohibited from distributing, transferring possession of, or otherwise making available the Licensed Software to any person other than the Key Person under the terms of this Agreement and from reproducing and installing the Licensed Software for use on any computers other than the Local Network System servers designated on Exhibit A of this Agreement, except for reasonable business requirements such as disaster recovery, disaster recovery testing, penetration testing and maintenance which shall be subject to the restrictions on use and disclosure as are contained in this Agreement with respect to the originals. Licensee, and any person acting on Licensee's behalf, are prohibited from reproducing, distributing, or otherwise transferring possession of copies of the Licensed Software, except for reasonable business requirements such as disaster recovery, disaster recovery testing, penetration testing and maintenance which shall be subject to the restrictions on use and disclosure as are contained in this Agreement with respect to the originals. Licensee, any person acting on Licensee's behalf, and the Key Person: (i) are prohibited from reverse engineering, reverse translating, decompiling or making any modifications, adaptations, enhancements, changes, or derivative works of the Licensed Software (including without limitation the database schemas); (ii) are prohibited from disclosing to or allowing access to, the database design incorporated in the Licensed Software, by third parties, except as provided herein; and (iii) shall advise all Authorized Users of all prohibitions and restrictions set forth in this Agreement. However, anything to the contrary herein notwithstanding, Licensee shall be permitted, at its expense, to add additional rules to the Licensed Software with. Licensor's prior written authorization. Licensee may not permit outside contractors or agents to use or access the Licensed Software without Licensor's prior written authorization, except for contractors working on systems operations (but not those involved in application maintenance or systems analysis).

Licensee shall not: (i) use the Licensed Software on behalf of third parties; or (ii) use or access the Embedded Third Party Code for any purpose other than use of the Licensed Software.

c. Archival Copy. The Key Person may make one (1) archival copy of the Licensed Software solely for use as a backup on the Local Network System for which the Licensed Software is licensed. Violation of any provision in this subsection shall result in the immediate termination of this Agreement.

7. Confidentiality

Licensor represents and Licensee hereby acknowledges that the object code constituting the Licensed Software and updates of the Licensed Software which is embodied on magnetic storage media constitute confidential and trade secret material (collectively hereinafter "Confidential Information") which is not readily susceptible to reverse compilation or reverse assembly. Licensee and the Key Person shall not attempt to decompile or disassemble the object code of the Licensed Software or updates thereof. Licensee further agrees that it will use its best efforts to prevent decompilation and disassembly of the object code of the Licensed Software and updates thereof by any

person or entity by securing and protecting each copy of the Licensed Software or update in a manner consistent with the maintenance of Licensee's rights and by taking appropriate action by instruction or agreement. The user manual, documentation, and all updates thereto shall also constitute Confidential Information. Further, the source code for the Licensed Software, and updates thereto, that may be held by Licensee from time to time under Section 12 of the Data Warehouse Agreement by and between Licensor and Licensee dated October 2, 2007 (the "Data Warehouse Agreement") shall constitute Confidential Information hereunder. Licensee shall not permit third parties to access Confidential Information except as provided heren. Violation of any provision in this Section shall be the basis for the immediate termination of this Agreement. TERMINATION SHALL NOT RELIEVE LICENSEE AND AUTHORIZED USERS OF THEIR OBLIGATIONS REGARDING THE CONFIDENTIALITY OF THE LICENSED SOFTWARE AND UPDATES.

8. Warranty

a. Scope of Warranty. Licensor warrants to Licensee as provided in the Data Warehouse Agreement the Licensed Software on Licensee's Local Network System and shall also substantially comply with the specifications as set forth on Exhibit A hereto.

b. Disclaimer of Any Other Warranties. THE LIMITED WARRANTY REFERRED TO IN SUBSECTION 8(a) IS IN LIEU OF ALL OTHER WARRANTIES. ALL OTHER WARRANTIES, WHETHER EXPRESS OR IMPLIED, INCLUDING BUT NOT LIMITED TO THE IMPLIED WARRANTIES OF MERCHANTABILITY AND FITNESS FOR A PARTICULAR PURPOSE, ARE EXPRESSLY DISCLAIMED.

c. Modification or Additional Warranties. Only an authorized officer of Licensor may make modifications to this warranty or additional warranties binding on Licensor, and such modifications or additional warranties must be in writing. Accordingly, additional statements such as those made in advertising or presentations, whether oral or written, do not constitute warranties by Licensor and should not be relied upon as such.

9. Limitation of Remedies

The parties agree that neither party shall be liable to the other party for any consequential, indirect, or special damages of any kind or nature and that the aggregate liability of either party to the other under this Agreement or otherwise shall not exceed the aggregate of two times the Data Warehouse Agreement price, meaning a total of Four Million Two Hundred and Thirty-Four Thousand and 00/100 ($4,234,000) Dollars, plus any other fees or costs paid by the Licensee to Licensor.

10. Relationship of the Parties

For purposes of this Agreement, Licensee is not an agent of Licensor, and Licensee has no express or implied authority to act on behalf of or make any representations whatsoever on behalf of Licensor. Licensor has no right to control any activities of Licensee outside the terms of this Agreement.

11. Delivery

Upon execution of this Agreement and receipt of the License Fee set forth herein, Licensor shall deliver to Licensee's Key Person one copy of the Licensed Software and the current user manual and documentation, by electronic transmission on a machine readable medium of Licensor's choosing.

12. License Fee and Payment

Upon execution of this Agreement, Licensee shall pay to Licensor a License Fee calculated in accordance with the Fee Schedule set forth in Exhibit C hereto.

13. Supplements

From time to time, Licensor may make available computer programs, new modules and customizations which are compatible with the Licensed Software and which supplement the Licensed Software and which are reasonably designated by Licensor as new products or new version releases thereof ("Supplements"). SUPPLEMENTS ARE NOT LICENSED UNDER THE TERMS OF THIS AGREEMENT.

14. Default, Termination and Indemnification.

Except as provided below, the provisions contained in the Data Warehouse Agreement on default, termination and indemnification shall govern this Agreement:

a. Immediate Termination. Upon the occurrence of any act which under Subsections 5.b, 6.b, or Section 7 of this Agreement gives rise to Licensor's right to terminate this Agreement immediately, Licensor shall have the right, at any time, to terminate the license granted in this Agreement without demand upon written notice.

b. Effect of Termination. Upon termination of this Agreement due to Licensee's failure to pay fees owed to Licensor or Licensee's breach of Sections 2, 5, 6 or 7 of this Agreement, the license granted under this Agreement to use the Licensed Software is immediately revoked and within five (5) days after such a termination of this Agreement, Licensee shall return to Licensor all copies of the Licensed Software updates and user manuals in Licensee's possession. In the alternative, upon request of Licensor, Licensee shall destroy all such copies of the Licensed Software updates and user manuals and certify in writing that they have been destroyed. TERMINATION SHALL NOT

RELIEVE LICENSEE AND AUTHORIZED USERS OF THEIR OBLIGATIONS
REGARDING THE CONFIDENTIALITY OF THE LICENSED SOFTWARE AND
UPDATES.

15. General and Order of Precedence

     a. Complete Agreement; Amendment. Each party acknowledges that it has
read this Agreement and any exhibits, understands them, and agrees to be bound by their
terms, and further agrees that they are the complete and exclusive statement of the
agreement between the parties which supersedes and merges all prior proposals,
understandings, and all other agreements, oral and written, between the parties relating to
the subject matter of this Agreement, except that each party agrees that the parties have
executed a Data Warehouse Agreement.; In the event that any provision in this
Agreement conflicts with any provision in the Data Warehouse Agreement, the provision
in the Data Warehouse Agreement shall take precedence.– This Agreement may not be
modified or altered except by written instrument duly executed by both parties-.

     b. Notice. Any notice or other communication required or permitted in this
Agreement shall be in writing and shall be deemed to have been duly given on the day of
service if served personally or by overnight courier, when received by facsimile or
electronic mail, or three (3) days after mailing if mailed by first class mail, registered or
certified, postage prepaid, and addressed as follows:

    To Licensor:

    Revenue Solutions, Inc.
    42 Winter Street
    Pembroke, MA 02359
    Attn: Chris Barlow
    Fax: 781-826-1324
    E-mail: CBarlow@RSImail.com

    To Licensee:

    David M. Sullivan, Tax Administrator
    Division of Taxation State of Rhode Island
    One Capitol Hill
    Providence, RI 02908
    Fax number (401) 222-6006

    With copy to:

    RI Department of Administration
    Division of Legal Services

One Capitol Hill – 4th Fl.
Providence, RI 02980

   d. Publicity; Advertising. Licensee understands and acknowledges that Licensor intends to include Licensee's name in a list of Licensees using Licensor's software which list may be used in proposals, advertisements, brochures and included on Licensor's Web site. Licensee hereby consents to such use upon Licensor obtaining its prior written consent, which consent shall not unreasonably be withheld.

   e. Governing Laws and Venue. This Agreement shall be governed by and shall be construed, without reference to conflict of law principles, according to the laws of the State of Rhode Island. Venue for any legal proceeding regarding this Agreement shall be the Superior Court in Providence County, Rhode Island.

   g. Severability. If any provision of this Agreement is invalid under any applicable statute or rule of law, it is to that extent to be deemed omitted. The remainder of the Agreement shall be valid and enforceable to the maximum extent possible.

   h. Assignment. Neither Licensor nor Licensee may assign or sublicense, without the prior written consent of the other party, its rights, duties, or obligations under this Agreement to any person or entity, in whole or in part. Except Licensee may assign its rights, duties and obligations under this Agreement to another division or department within the State.

   i. Waiver. The waiver or failure of Licensor to exercise in any respect any right provided for in this Agreement shall not be deemed a waiver of any further right under this Agreement. The waiver or failure of Licensee to exercise in any respect any right provided for in this Agreement shall not be deemed a waiver of any further right under this Agreement.

   k. Headings. The headings appearing at the beginning of the several sections contained in this Agreement have been inserted for identification and reference purposes only and shall not be used in the construction and interpretation of this Agreement.

   l. Survival. Sections 6, 7, 8, 9, 14 and 15 shall survive the expiration or any termination of this Agreement.

[REMAINDER OF PAGE INTENTIONALLY LEFT BLANK]

IN WITNESS WHEREOF, the parties hereto have signed this Agreement effective as of the date first specified above.

AGREED:

REVENUE SOLUTIONS, INC.

_____
Signature

_____
Name

_____
Title

STATE OF RHODE ISLAND, BY AND
THROUGH THE DEPARTMENT OF
ADMINISTRATION

_____
Signature
_Beverly E. Najarian_____
Name
Director and Chief Purchasing Officer
Title

IN WITNESS WHEREOF, the parties hereto have signed this Agreement effective as of the date first specified above.

AGREED.

REVENUE SOLUTIONS, INC.

C.... Christopher L. Barlow

Signature

Christopher L. Barlow, CFO

_____
Name

_____
Title

STATE OF RHODE ISLAND, BY AND
THROUGH THE DEPARTMENT OF
ADMINISTRATION

Beverly Najarian

Signature

 Beverly E. Najarian
Name
 Director and Chief Purchasing Officer
Title

EXHIBIT A

LICENSED SOFTWARE
DiscoverTax Specifications

DiscoverTax Base Server. Includes server software for configuration, security, Associate & Grow (A&G), tax calculation, primary indicator and research of base warehouse. Also includes the following embedded third-party software components:
- o   o   GROUP1, CODE-1
- o   o   Identity Systems, SSA-NAME3
- o   o   Embarcadero Technologies, Inc., DT/Studio

DiscoverTax Case Manager Server. Includes server software for case management support of selected leads, including case creation, assignment, workflow, closure, and history.

DiscoverTax Correspondence Server. Includes server software to support the definition, generation, distribution (e.g., printing), and history of notices and correspondence.

DiscoverTax Decision Support Server. Includes server software to support rule-based risk analysis scoring for tax discovery, audit and collection case lead selection.

DiscoverTax Audit Workbench Server. Includes server software to support audit administration, tracking of audit performance and audit reporting, and provides integration of Audit Workbench with Audit Workbench Server components.

DiscoverTax Audit Workbench. Includes standalone client software to manage field audits. Provides ability to check-out/check-in audit case information from/to DiscoverTax Audit Workbench Server, view audit case and taxpayer information, record audit notes and time reporting details, and save audit case history and file attachments.

DiscoverTax Administrator. Includes client software (i.e., online screens) to perform administrative functions on the DiscoverTax application. Administrative functions include configuration of codes tables, parameters, users, security settings, and business rules used by the online and office processes.

DiscoverTax Web User. Includes web based end-user interface for all DiscoverTax server components licensed. This may include inquiry into the data warehouse, lead selection & review, case inventory management, and correspondence generation.

PERMITTED SERVERS

In the event that the Local Network System operates as a distributed network system, and comprises multiple servers (physical or virtual), Licensee may load and run modules contained in a single copy of the Licensed Software on a single database server, a single batch server and one or more application servers operating as part of the Local Network System.

EXHIBIT B

LICENSED SOFTWARE MAINTENANCE AND SUPPORT ADDENDUM

This Licensed Software Maintenance and Support Addendum (the "Addendum") is made and entered into this 2nd day of October, 2007 (the "Effective Date") by and between Licensor and Licensee. In the consideration of the mutual covenants and promises contained herein, and for other good and valuable consideration, Licensor and Licensee hereby agree as follows:

1. Scope Of Addendum

During the term of this Addendum, as set forth in Section 2, Licensor agrees to provide Licensee standard maintenance and support services, as set forth in Section 3, for the Licensed Software. All terms used herein shall have the meaning set forth in the DiscoverTax License Agreement.

2. Term

This Addendum shall take effect upon the Effective Date and shall remain in effect for 2 years (the "Initial Term"). Thereafter, this Addendum shall automatically renew for successive one-year periods (each a "Term"). Provided, however, that a party may elect not to renew this Addendum at the end of any Term by giving written notice to the other party of its intention not to renew at least sixty (60) days prior to the end of the Term.

3. Standard Maintenance Services

a. *Scope of Services.* During the term of this Addendum, Licensor will provide Licensee the following Standard Maintenance Services for the Licensed Software:

i. Corrections of substantial defects in the Licensed Software so that the Licensed Software will operate as described in the user manuals provided to Licensee with the Licensed Software, Scope of Work and Data Warehouse Agreement.

ii. Periodic updates and enhancements of the Licensed Software that may incorporate (A) Enhancements, and (B) corrections of Defects.

iii. Periodic updates to the user manual.

iv. Live toll free telephone support (available at 888-826-1324, ext. 35) between the hours of 7:00 a.m. and 5:00 p.m., Pacific Standard Time, Monday through Friday, excluding federal holidays, and e-mail support (available at DTaxSupport@DiscoverTax.com) to assist Licensee in using the Licensed Software. Licensor will acknowledge a reported problem with the Licensed Software within one (1) hour of a report and will use reasonable efforts to resolve it within twenty-four hours. If such reported problem is not resolved within twenty-four hours , such reported problem shall be resolved in a reasonable amount of time.

b. *Services Not Included.* Standard Maintenance Services covered by this Addendum do not include:

i. Components that are not covered by Licensee's License agreement or that are offered, at Licensor's sole discretion, to Licensees upon payment of an additional license fee.

ii. Custom programming services.

iii. On-site support.

iv. Training.

v. Hardware and related supplies.

vi. Support for customer specific modifications or extensions.

c. *Definitions.*

i. "Defect" – an error or flaw in the Licensed Software that causes it to operate in a manner inconsistent with its specifications and documentation.

ii. "Enhancement" – an enhancement adds functionality to the Licensed Software.

4. Supplements

From time to time, Licensor at its sole discretion may make available to Licensee Supplements to the Licensed Software, which are reasonably designated by Licensor as new products or new version releases thereof, that Licensee may license from Licensor upon payment of the license fee established by Licensor.

5. Maintenance Fee

The maintenance fees during the Initial Term are as set forth on Schedule 1 to Exhibit B to the DiscoverTax License Agreement. For each successive Term, the maintenance fees shall be eighteen percent (18%) of the then current list price calculated for each component, quantity thereof, and licensed use of the Licensed Software. Licensor shall provide Licensee notice of any increases in the maintenance fees in January of each year that this Addendum remains in effect, such increases to take effect during the subsequent Term. All maintenance fees shall be due and payable in full prior to the commencement of a Term.

6. Obligations Of Licensee

a. *Licensee Contact.* Licensee shall notify Licensor of Licensee's designated Key Person. Licensee's communications with Licensor will be through the Key Person.

b. *Installation.* Licensee agrees to install all corrections of substantial defects, minor bug fixes and updates, including any enhancements, for the Licensed Software in accordance with the instructions and in order of receipt from Licensor. Licensee understands and acknowledges that Licensor is not obligated to provide maintenance or support for the Licensed Software if Licensee is operating a version of the Licensed Software that is not updated to within two releases of the most currently available release of the Licensed Software.

c. *Facility and Personnel Access.* Licensee agrees to grant Licensor access to Licensee's facilities and personnel concerned with the operation of the Licensed Software to enable Licensor to provide services.

d. *Error Documentation.* Upon detection of any error in the Licensed Software, Licensee, as requested by Licensor, agrees to provide Licensor a listing of output and any other data, including databases and backup systems, that Licensor reasonably may request in order to reproduce operating conditions similar to those present when the error occurred.

7. Termination

a. *Event of Termination.* Licensor shall have the right to terminate this Addendum and all services provided pursuant to this Addendum upon termination of the DiscoverTax License Agreement by either party for any reason. Licensor or Licensee shall have the right to to terminate this Addendum upon an event of default by the other party under the Data Warehouse Agreement.

8. Incorporation of License Terms

       This Addendum shall be subject to the terms and conditions of the DiscoverTax License Agreement between the parties hereto.
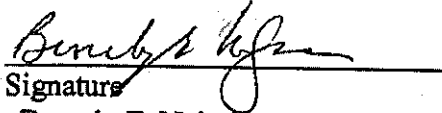
AGREED:

REVENUE SOLUTIONS, INC.

Island, by and through the

Administration

	LICENSEE:
	State of Rhode
	Department of

_____

Signature   Signature

_____

Name   Name

_____

Title   Title

8. Incorporation of License Terms

This Addendum shall be subject to the terms and conditions of the Discover Tax License Agreement between the parties hereto.

AGREED.

REVENUE SOLUTIONS, INC.

_____
Signature **Christopher L. Barlow, CFO**

_____
Name

_____
Title

STATE OF RHODE ISLAND, BY AND
THROUGH THE DEPARTMENT OF
ADMINISTRATION

_____
Signature

_Beverly E. Najarian_____
Name

Director and Chief Purchasing Officer
Title

Schedule 1 to Exhibit B

ANNUAL MAINTENANCE FEE SCHEDULE

1. PRODUCTION COPY

Components	Quantity	Unit Price	Extended Price
DiscoverTax Base Server	1	$58,597.50	$58,597.50
DiscoverTax Case Manager Server	0	$_____	$_____
DiscoverTax Correspondence Server	0	$_____	$_____
DiscoverTax Decision Support Server	1	$9,000	$9,000
DiscoverTax Audit Workbench Server	0	$_____	$_____
DiscoverTax Audit Workbench	0	$_____	$_____
DiscoverTax Administrator	5	$90	$450
DiscoverTax Web User	75	$0	$0

Total: $68,047.50

2. DEVELOPMENT COPY

Components	Quantity	Unit Price	Extended Price
DiscoverTax Base Server	1	$22,162.50	$22,162.50
DiscoverTax Case Manager Server	0	$_____	$_____
DiscoverTax Correspondence Server	0	$_____	$_____
DiscoverTax Decision Support Server	1	$2,250	$2,250
DiscoverTax Audit Workbench Server	0	$_____	$_____
DiscoverTax Audit Workbench	0	$_____	$_____
DiscoverTax Administrator	2	$90	$180
DiscoverTax Web User	10	$0	$0

Total: $24,592.50

Notes:

1. *1.   The total amount for first two years of maintenance is included in the cost Deliverable 3: DiscoverTax License at a discounted rate. These figures are for annual out year costs after the included two year term.*
2. *2.   The total maintenance cost detailed above ($92,640) does not include SAS maintenance cost. For the purposes of the proposal, the SAS maintenance cost was estimated at $73,358 for a total estimated cost of $165,998*

3. TRAINING COPY

Components	Quantity	Unit Price	Extended Price
DiscoverTax Base Server	0	$_____	$_____
DiscoverTax Case Manager Server	0	$_____	$_____
DiscoverTax Correspondence Server	0	$_____	$_____
DiscoverTax Decision Support Server	0	$_____	$_____
DiscoverTax Audit Workbench Server	0	$_____	$_____
DiscoverTax Audit Workbench	0	$_____	$_____
DiscoverTax Administrator	0	$_____	$_____
DiscoverTax Web User	0	$_____	$_____

Total: $_____

4. TESTING COPY

Components	Quantity	Unit Price	Extended Price
DiscoverTax Base Server	0	$_____	$_____
DiscoverTax Case Manager Server	0	$_____	$_____
DiscoverTax Correspondence Server	0	$_____	$_____
DiscoverTax Decision Support Server	0	$_____	$_____
DiscoverTax Audit Workbench Server	0	$_____	$_____
DiscoverTax Audit Workbench	0	$_____	$_____
DiscoverTax Administrator	0	$_____	$_____
DiscoverTax Web User	0	$_____	$_____

Total: $_____

-EXHIBIT C
LICENSE FEE SCHEDULE

1. PRODUCTION COPY

Components	Quantity	Unit Price	Extended Price
DiscoverTax Base Server	1	$305,750	$305,750
DiscoverTax Case Manager Server	0	$_____	$_____
DiscoverTax Correspondence Server	0	$_____	$_____
DiscoverTax Decision Support Server	1	$50,000	$50,000
DiscoverTax Audit Workbench Server	0	$_____	$_____
DiscoverTax Audit Workbench	0	$_____	$_____
DiscoverTax Administrator	5	$500	$2,500
DiscoverTax Web User	75	$0	$0

Total: **$358,250**

2. DEVELOPMENT COPY

Components	Quantity	Unit Price	Extended Price
DiscoverTax Base Server	1	$82,000	$82,000
DiscoverTax Case Manager Server	0	$_____	$_____
DiscoverTax Correspondence Server	0	$_____	$_____
DiscoverTax Decision Support Server	1	$12,500	$12,500
DiscoverTax Audit Workbench Server	0	$_____	$_____
DiscoverTax Audit Workbench	0	$_____	$_____
DiscoverTax Administrator	2	$500	$1,000

DiscoverTax Web User	10	$0	$0

Total: $95,500

3. TRAINING COPY

Components	Quantity	Unit Price	Extended Price
DiscoverTax Base Server	0	$_____	$_____
DiscoverTax Case Manager Server	0	$_____	$_____
DiscoverTax Correspondence Server	0	$_____	$_____
DiscoverTax Decision Support Server	0	$_____	$_____
DiscoverTax Audit Workbench Server	0	$_____	$_____
DiscoverTax Audit Workbench	0	$_____	$_____
DiscoverTax Administrator	0	$_____	$_____
DiscoverTax Web User	0	$_____	$_____

Total: $0

4. TESTING COPY

Components	Quantity	Unit Price	Extended Price
DiscoverTax Base Server	0	$_____	$_____
DiscoverTax Case Manager Server	0	$_____	$_____
DiscoverTax Correspondence Server	0	$_____	$_____
DiscoverTax Decision Support Server	0	$_____	$_____
DiscoverTax Audit Workbench Server	0	$_____	$_____
DiscoverTax Audit Workbench	0	$_____	$_____
DiscoverTax Administrator	0	$_____	$_____

DiscoverTax Web User   0   \$_____   \$_____

Total: \$0

Exhibit 4

STATE OF RHODE ISLAND AND PROVIDENCE PLANTATIONS

INTER-OFFICE MEMO

TO: RHODE ISLAND DIVISION OF TAXATION EMPLOYEES/CONTRACTOR
DEPARTMENT OF REVENUE

FROM: DAVID M. SULLIVAN
EXECUTIVE DIRECTOR/TAX ADMINISTRATOR

SUBJECT: SECURITY STATEMENT

DATE: JANUARY 2007

The undersigned employee or contractor of the Department of Revenue, Division of Taxation, makes affirmation as follows:

1. I have read and am fully aware of the memo regarding SECURITY OF STATE TAX INFORMATION AND FEDERAL TAX INFORMATION OBTAINED UNDER THE PROVISIONS OF SECTION 6103(d) OF THE INTERNAL REVENUE CODE. COPIES OF SECTION 6103(d) AND SECTION 7213 (UNAUTHORIZED DISCLOSURE OF INFORMATION) AND SECTION 7213A (UNAUTHORIZED INSPECTION OF RETURNS OR RETURN INFORMATION) are attached.

2. I understand that this Statement will be placed in my individual security file.

I affirm that this statement is made under the penalties of perjury this _____ day of _____ 2007.

_____
Signature

_____
Please Print Name

STATE OF RHODE ISLAND AND PROVIDENCE PLANTATIONS

INTER-OFFICE MEMO

TO: RHODE ISLAND DIVISION OF TAXATION EMPLOYEES/CONTRACTOR DEPARTMENT OF REVENUE

FROM: DAVID M. SULLIVAN
EXECUTIVE DIRECTOR/TAX ADMINISTRATOR

SUBJECT: SECURITY OF STATE TAX INFORMATION AND FEDERAL TAX INFORMATION OBTAINED UNDER THE PROVISIONS OF SECTION 6103(d) OF THE INTERNAL REVENUE CODE

DATE: JANUARY 1, 2007

In order to insure compliance with state tax laws and Federal tax laws and to avoid the possibility of inadvertent disclosure of tax data obtained by the Division of Taxation, all employees are reminded of the following:

1. Access to state tax files, including any information obtained under the provisions of Section 6103(d) of the Internal Revenue Code, is limited to authorized state tax personnel only. Such access is granted only on a need-to-know basis.

2. Access to state tax files is prohibited by state law and/or Division rules to state nontax personnel, political subdivisions of the state, other states except through exchange agreements and nongovernment personnel.

3. Access to state files is granted by state law to personnel of the Auditor General's Office and the State Bureau of Audits for the purpose of auditing the records of this Division. This access does not extend to any Federal tax information and care should be taken to remove all Federal data before permitting access to any file by such personnel.

4. No information or transcripts of accounts obtained from the Federal government are to be taken outside the confines of this office. This includes field personnel, revenue agents and revenue officers.

Employees are advised of the provisions of Section 7213 (a) (2) of the Internal Revenue Code which makes unauthorized disclosure of information from a Federal income tax return a crime which may be punishable by $5,000 fine, five years imprisonment, or both. Copies of the Internal Revenue Code sections are attached.

Section 44-30-95(c) of the Rhode Island personal income tax law relating to disclosure of state tax information provides for a fine of $1,000 or imprisonment not exceeding one year, or both, for the unauthorized disclosure of any information set forth or disclosed in any return, or to permit any return or

copy thereof or any book containing any abstract or particulars thereof to be seen or examined by any person except as provided by law.

Under the provisions of the Federal/State Agreement, the Division of Taxation is required to maintain a record that each individual employee is aware of and fully understands the information contained in this memo and attachments.

Attachments

AMENDMENT NO. 1
TO DATA WAREHOUSE AGREEMENT

This Amendment ("Amendment") is entered into as of the 2nd day of October, 2007 (the "Effective Date"), and amends the Agreement titled, **Data Warehouse Agreement** (the "Agreement") dated October 2, 2007 (as amended hereby, the "Agreement") by and between the State of Rhode Island and Providence Plantations by and through the Department of Administration ("State") and Revenue Solutions, Inc. ("RSI):

The Agreement between the Parties is hereby amended as follows:
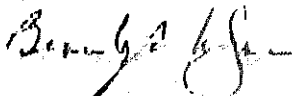
1. The Parties agree that in Section 1.2, the "Start Project Date" of October 1, 2007 contained within Appendix A of Exhibit 1 to the Agreement: Project Workplan the "RI WBS for Data Warehouse Project" ("WBS"), shall be changed to October 9, 2007. Any affected time period for the remainder of the WBS shall be extended accordingly. Any affected time period contained within the SOW shall also be extended accordingly including, but not limited to Section 2.2 – the date production and pre-production environment are required and will be ready; Section 3.3 – Payment Schedule; and Section 4.4 Warranty/Maintenance.

    The Parties agree that no change order shall be issued as a result of the change in the Start Project Date.

2. The remainder of the Agreement remains unchanged and is hereby reaffirmed.

3. This Amendment may be executed in counterparts, each of which so executed will be deemed to be an original and such counterparts together will constitute one and the same Amendment.

By the signatures of their duly authorized representatives below, the State and RSI, intending to be legally bound, agree to all of the provisions of this Amendment and ratify the terms of the Agreement.

STATE OF RHODE ISLAND BY AND
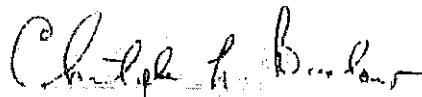Through the Department of Administration

By: _____

Print Name: Beverly E. Najarian

Title: Director and Chief Purchasing
        Officer

Date: October 2, 2007

REVENUE SOLUTIONS, INC.

_____

Print Name:

Title: **Christopher L. Barlow, CFO**

Date: October 2, 2007

AMENDMENT NO. 2
TO DATA WAREHOUSE AGREEMENT

This Amendment ("Amendment") is entered into as of the 2nd day of October, 2007 (the "Effective Date"), and amends the Agreement titled, **Data Warehouse Agreement** and any previous amendments thereto (the "Agreement") by and between the State of Rhode Island and Providence Plantations by and through the Department of Administration ("State") and Revenue Solutions, Inc. ("RSI"):

The Agreement between the Parties is hereby amended as follows.

1. Section 19 (x) of the Agreement is hereby deleted in its entirety and replaced with the following:

    (x) CONTRACTOR (RSI) shall execute and deliver to the State of Rhode Island, contemporaneously with the signing of the Agreement, a performance bond in the amount of the total cost of this Agreement in the name of the State of Rhode Island. The term of the performance bond shall cover the implementation phase extending through acceptance of Deliverable 15 [Appendix A: Project Work Plan (WBS for Data Warehouse Project) to Exhibit 1 of the Agreement] and the subsequent thirteen (13) months of warranty or the initial two (2) years of maintenance, which ever period is longer ("term"). The required bond shall be conditioned upon and for the full performance and actual fulfillment of each and every term, condition, provision and obligation of the CONTRACTOR (RSI) and its officers and employees arising under the Agreement during such term.

    Said performance bond shall be in a form reasonably acceptable to the State.

2. The remainder of the Agreement remains unchanged and is hereby reaffirmed.

3. This Amendment may be executed in counterparts, each of which so executed will be deemed to be an original and such counterparts together will constitute one and the same Amendment.

By the signatures of their duly authorized representatives below, the State and RSI, intending to be legally bound, agree to all of the provisions of this Amendment and ratify

the terms of the Agreement.

STATE OF RHODE ISLAND by and
Through the Department of Administration

By: *[signature]*

Print Name: Beverly E. Najarian

Title: Director and Chief Purchasing
Officer

Date: October 2, 2007

REVENUE SOLUTIONS, INC.

[signature]

Print Name:

Title   **Christopher L. Barlow, CFO**

Date: October 2, 2007

SECTION 6
COOK COUNTY SIGNATURE PAGE

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

_____

COOK COUNTY CHIEF PROCUREMENT OFFICER

DATED AT CHICAGO, ILLINOIS THIS ___31___ DAY OF_____December_____ ,20__15__.

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

THE FOREGOING BID/PROPOSAL/RESPONSE AS IDENTIFIED IN THE CONTRACT DOCUMENTS FOR CONTRACT NUMBER

   1525-15053_____

OR

ITEM(S), SECTION(S), PART(S):__N/A_____

_____

TOTAL AMOUNT OF CONTRACT: $ 1,819,067.00_____

(DOLLARS AND CENTS)

FUND CHARGEABLE:_____

APPROVED AS TO FORM:

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

APPROVED BY BOARD OF
COOK COUNTY COMMISSIONERS

DEC 1 6 2015

_____
Date

EDS-18

8/2015