

INFORMATION TECHNOLOGY

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November 6, 2018

To: Mahesh Sharma, County Administrator
From: Matt Hirst, Information Technology Director
ECM Steering Committee
Subject: ECM Project – Phase 3

In March of 2016, the Enterprise Content Management (ECM) Steering Committee recommended and the Scott County Board of Supervisors approved Hyland OnBase and professional implementation services from DataBank IMX for an Enterprise Content Management solution. Phase 1 of this ECM implementation completed in June of 2017.

ECM implementation began at Scott County in June of 2014 when the ECM Steering Committee was created which today includes representatives from most County Offices and Departments to identify County records management needs. Current members include: Mahesh Sharma, Sara Skelton, Jon Burgstrum, David Farmer, Pam Brown, John Heim, Tim Huey, Matt Hirst, Jeremy Kaiser, Roger Kean, Peter Kurylo, Stephanie Macuga, Marc Miller, Tammy Speidel, Mary Thee, Amy Thoreson, Barb Vance, Cathy Voelkers, Cheri Sexton, and Kathy Walsh. In January of 2015, the ECM Steering Committee solicited a record inventory from County Offices and Departments. The inventory process identified over two hundred and fifty (250) record sets at that time. The inventory was used to provide detail to a County issued RFP in November of 2015.

The initial RFP resulted in fifteen (15) responses from potential solution providers which were ranked and narrowed to the three (3) best responses for vendor on-site demonstrations of application capabilities and implementation strategies. The ECM Selection Team found OnBase as proposed by the Value Added Reseller (VAR) DataBank to be the solution which clearly best met the needs of Scott County and Board approved contracts were signed which included Phase 1 implementation work as well as Phase 2 project discovery.

Phase 1 ECM implementation projects completed in June of 2017 and included:

- Cannon ImageWARE migration to OnBase (more than 2 million records)
- Volume Scanning
- Accounts Payable records
- JDC Case Management records
- ECM Phase 2 discovery

Phase 2 ECM implementation projects completed in July of this year and included:

- Human Resources Records

Phase 3 discovery conducted by DataBank and Information Technology and reviewed by the ECM Steering Committee again evaluated several high profile record sets managed at the County. At this time, the ECM Steering Committee recommends Phase 3 ECM to address Jail records as detailed in the attached contract. Phase 3 project costs total \$48,585 and includes professional services. No additional software is required for this phase. It is recommended the Board approve the project contract with DataBank IMX for Phase 3 implementation services and for the IT Director to sign document(s) for this project on behalf of the Board. Budget dollars are available in the Capital Improvement Program budget to fund the cost of this project.

Cc: ECM Steering Committee
Encl: (1)



STATEMENT OF WORK

SCOTT COUNTY, IOWA

JAIL MANAGEMENT

9/12/2018

Prepared by: Tim Nelson
DataBank IMX
www.databankimx.com

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Statement of Work

1. Version Control

Document Attributes

Document Name	Statement of Work
Document Identifier	20180712_Scott County_Jail Management_SOW
Publish Date	9/12/2018
Salesforce URL	https://na55.salesforce.com/00Q0f1000001tXMd
Current Revision Number	0.5

Revision History

Version Number	Date	Responsibility (Author)	Description
0.1	9/12/2018	Tim Nelson	Initial draft
0.2	7/26/2018	Tim Nelson	Added application integration for Employee Health application and ERP
0.3	8/2/2018	Tim Nelson	Revisions per Client's request
0.4	8/20/2018	Tim Nelson	Removed the Unity Forms
0.5	9/14/2018	Tim Nelson	Removed ERP Contract integration

RACI Chart

Name	Position	*	R	A	S	C	I
Thomas Postulka	DataBank – Regional Sales Director	X		X	X		X
Adam Herrmann	DataBank – Director of Professional Services			X	X		X
Alan Givens	DataBank – Regional Manager of Professional Services				X		X
Tim Nelson	DataBank – Bid Manager		X				X
Lee Meyerdirk	DataBank - Solutions Consultant				X		X
Jessica Gilson	DataBank – Project Manager				X		X
Mahesh Sharma	Scott County, Iowa – Project Sponsor						X
Matt Hirst	Scott County, Iowa – Project Sponsor	X				X	X
Stephanie Macuga	Scott County, Iowa - Project Manager					X	X
John Heim	Scott County, Iowa – Subject Matter Expert					X	X
Column Key							
		* – Authorize: This individual has ultimate signing authority for any changes to the document and will be responsible for signing the Master Agreement R – Responsible: Person responsible for creating this document. A – Accountable: Person accountable for accuracy of this document. S – Supports: Individuals providing supporting services in the production of this document. C – Consulted: Individuals providing input (interviewee, etc.). I – Informed: Individuals who must be informed of any changes.					

2. Introduction/Overview

Scott County, IA (hereinafter “Client”) is seeking to enhance their current OnBase platform, while replacing a paper-based, manual process. The new solution provides electronic Correctional Officer (CO) jail forms and enhanced reporting capabilities to better streamline business processes. As inmates are booked into or released from the jail, moved within the jail facility or incidents reported, several forms are used to track inmate interactions and CO tasks performed. This solution will also include the integration of the Employee Health application and the ERP Contract application using Application Enabler.

The end goal for this solution will include the following:

1. Replace a paper-based, manual CO jail form process
2. Create a process to electronically route the jail forms for review and approval.
3. Create a process to send notifications when a new jail form is ready for review.
4. Create a process using Application Enabler to import documents from the Employee Health application into OnBase.
5. Create a process using Application Enabler to retrieve documents stored in OnBase from the Employee Health application.

Client will be leveraging DataBank to implement and support the solution.

3. Objective

The objective of this document is to present the project scope, deliverables, assumptions, and professional service estimates for implementing the solution at Client. It will also serve to solicit approval from Client to move ahead with the described activities upon receipt of a signed copy.

4. Scope of Services

The scope of this project consists of planning, design, development, testing, training, and deployment activities associated with the implementation of this project. Installation and/or configuration of OnBase components not listed or that exceed the documented numbers will require an approved change order.

The scope of this initiative will be limited to DataBank performing the following activities:

Activity	Description
Discovery & Design	<ul style="list-style-type: none"> ▪ Requirements refinement as needed based on user feedback during Development
Development	<ul style="list-style-type: none"> ▪ Configure four (4) Custom Queries ▪ Workflow Configuration <ul style="list-style-type: none"> ○ Configure one (1) Lifecycle with up to four (4) Queues per approval level and four (4) Email notifications ▪ Employee Health Application Integration <ul style="list-style-type: none"> ○ Configure one (1) screen for Application Enabler to screen scrape the Employee Health application to import documents into OnBase ○ Configure one (1) screen within the Employee Health application for Application Enabler to retrieve documents stored in OnBase ▪ Development review and solution demonstrations

Statement of Work

Activity	Description
Testing	<ul style="list-style-type: none"> Create a test plan which will identify the testing cycles, dates, and assignments Perform unit testing to test basic OnBase functionality such as user login, scanning, retrieval, and storage. Create test scripts for Quality Assurance Testing (QAT) Two (2) days of onsite QAT assistance and issue resolution
Training	<ul style="list-style-type: none"> One (1) day of onsite QAT training Create training guide Two (2) days of end user training One (1) day of onsite Administrative Training (System Admin for entire solution review)
Production Deployment	<ul style="list-style-type: none"> Migration of solution to Production Go-live support Create Client System Information document Transition to Support
Project Management	<p>DataBank will assign a Project Manager who will manage the day-to-day activities of the project in conjunction with Client Project Manager. Responsibilities include:</p> <ul style="list-style-type: none"> Setup the project in the internal PSA system Coordinate DataBank technical team personnel and schedules DataBank will schedule a project kick-off meeting to introduce project resources and review the project plan with Client Ongoing planning and coordination Lead weekly status meetings with the project team Preparation of weekly status reports Status reporting to client Project Manager Project Plan management Close management on project scope and limitation of Change Order Requests

The following items have been discussed but are considered **out of scope** for this project:

Activity	Description
ERP Contract Integration	Integration with the ERP system is out of scope for this project. If this is desired, an approved change order will be required.
Document Type Groups and Document Types	Any new Document Type Groups and/or Document Types needed to support the solution will be created by Client staff.
Keywords	Any new Keywords needed to support the solution will be created by Client staff.
Implementation of OnBase in other departments	Activities related to the implementation of OnBase in departments other than those listed in the Solution Design Document are out of scope and will require an approved change order.

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Activity	Description
Data Conversion	Work outlined in this SOW does not include data conversion from existing or legacy systems to OnBase. Out of scope items would include, but not limited to: data related to integration, content stored in other repositories, etc. If this is desired, an approved change order will be required.
Custom Development	Standard OnBase interfaces will be leveraged for this project. Customized web front-ends, applications, scripts, interfaces or other development are not in scope and will require an approved change order.
Document Retention	Automating the policies, conditions, and time periods associated with retaining documents in OnBase is not in scope for this project.
Activities not listed	Activities not listed in the in scope statement will require a change order.

5. Compensation and Payment Schedule

DataBank will charge and bill services fees to Client for the Professional Services provided under this SOW in the following manner:

1. Time and Materials will be billed semi-monthly

Other than when payment terms are specifically delineated in a Master Services Agreement, Client agrees to pay for all services and products within thirty (30) days of receipt of an invoice from DataBank.

6. Pricing Breakdown

6.1 Professional Services Fees (Estimate) – Time and Materials

The following is a summary of the estimated costs for professional services by project stage. The services provided under this SOW will be delivered on a time and materials basis.

Phase	Hours	Rate	Consulting Fee	Travel and Expenses	Total Estimate
Discovery & Design	10.0	\$185.00	\$1,850.00	\$0.00	\$1,850.00
Development	44.0	\$185.00	\$8,140.00	\$0.00	\$8,140.00
Testing	44.0	\$185.00	\$8,140.00	\$530.00	\$8,670.00
Training	40.0	\$185.00	\$7,400.00	\$2,360.00	\$9,760.00
Production Deployment	28.0	\$185.00	\$5,180.00	\$0.00	\$5,180.00
Project Management	40.0	\$185.00	\$7,400.00	\$0.00	\$7,400.00
Sub-Total	206.0	\$185.00	\$38,110.00	\$2,890.00	\$41,000.00
Contingency Reserve (20%)	41.0	\$185.00	\$7,585.00	\$0.00	\$7,585.00
Grand Total	247.0	\$185.00	\$45,695.00	\$2,890.00	\$48,585.00

All estimates of fees or time required to complete the project are **approximations** of the anticipated amount of time needed to complete the project. Client will be invoiced based on the amount of time actually required to complete the project.

It is important to note that scope can change throughout the lifecycle of a project requiring the use of DataBank's change order process.

7. Services Rendered and Timeline Estimation

The parties agree that any services described in this SOW that have been performed prior to the execution of this SOW by the parties nevertheless shall be covered by all terms and conditions of this SOW.

8. Travel & Expense Policy

8.1 Trip Charge

If travel is required, charges associated with travel to and from Client site(s) are invoiced as a flat-rate trip charge. The standard trip charge will be \$650.00 per resource regardless of the method of travel and/or distance (i.e., mileage, airfare, etc.).

8.2 Estimated Expenses

Other recoverable expenses such as lodging, meals, car rental, and parking will be billed back to Client based on the following estimated rates:

Hotel	\$140 per night (per resource)
Meals	\$45 per Diem (per resource)
Transport	\$70 per day (standard/mid-sized car)
Parking	\$10 per day
Total	\$265 per day (For the first resource. Additional resources will trigger additional costs.)

The **actual** expenses will be itemized on the invoice.

9. Non-Standard Time Policy

Professional Services are considered non-standard time if they belong to one of the following situations:

1. Work is being performed in the same time zone as DataBank Headquarters (CST) and the work falls outside of the standard business hours (Monday – Friday, 8:00 AM – 5:00 PM).
2. Work is being performed in a different time zone other than that of DataBank Headquarters (CST) and the work falls outside the hours of (Monday – Friday, 8:00 AM – 5:00 PM) in said time zone.

In certain circumstances, DataBank will perform work outside of standard business hours. DataBank will only charge a premium when Client has requested that work be performed outside of standard business hours (see above for location and/or hours details). Premium rates are billed at 1.50 times the quoted services rate.

10. Change Order Policy

Change orders will be utilized for all scope changes not specifically stated in the in-scope section of this SOW, if the schedule changes from the defined schedule in this SOW, or project assumptions listed in this SOW are not met. This includes billable and non-billable project changes. Purchase orders will be required for all mutually agreed upon billable changes. Any change orders that are agreed upon during the deployment phase can affect the project schedule. The project schedule will be updated and approved by Client as part of the change order process.

11. Non-Solicitation of Employee(s) Policy

The parties agree that during the term of the agreement and for three years thereafter, they shall not solicit or encourage, or cause others to solicit or encourage, any of the other party's' employees or contractors or any affiliate to terminate their employment or engagement. Each party shall not, directly or indirectly, hire any then-current or former employee or contractor of the others and shall not solicit any then-current Client or an

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affiliate or any prospective Clients made known to it by the other party for any business relating to in anyway, the business of the party or otherwise interfere with the business relations between the party and any such Clients.

12. Required Documentation

The following documents are required prior to DataBank scheduling the start of the project and prior to any work being performed.

1. Purchase Order
2. Signed Statement of Work

13. Client Responsibilities

Client agrees that the following actions and project requirements will be solely owned and completed/provided by Client staff and Client resources. Failure to complete actions will directly impact the project start date, project schedule and project success. Any requirements or Client responsibilities not provided during the project will result in a change order to account for increased project schedule, increase resource expenses, and increased operating expenses.

13.1 Required Prior to Project Start

DataBank resources will be assigned to the project and engaged in project activities beyond the initiation meeting once all of the following requirements have been met by the Client.

1. All applicable system servers are installed, tested, and properly working
2. All applicable operating software is installed, tested, and working properly
3. A network account with rights to the network and hardware is set up and made available to DataBank for both onsite and remote work.
4. Client will download all applicable OnBase software and place the software in a directory on the server(s) it will be installed on.
5. A work space will be made available for DataBank resources to perform the work described in this SOW. The space will be a physical space if work is performed on-site. The space will be remote machines if the work is performed remotely.
6. Client will provide project staff with access to all printed and electronic information relevant to this project at the beginning of the project.
7. Client will assign a project manager or lead resource to manage the day-to-day activities related to the project. This will include ongoing project planning, schedule coordination, and issue escalation in order to meet all milestones/requirements.

13.2 Required During Project

Client will provide the following during the project.

1. Client will maintain and keep available all line items listed as requirements prior to project start.
2. Client will manage/schedule its own resources during the project.
3. Client will test the deployed solution as defined within the SDD.
4. Client will document all issues/change requests as part of the Client testing process.

14. Project Assumptions

The following Assumptions are paramount to the defined scope and schedule for this project. Any variables in the project found to not match the listed assumptions will be documented by DataBank project manager as a project risk. A change order will be required for any variables that do not match the project assumptions and that impact the project deliverables, project schedule or project expenses.

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1. A signed SDD is received by DataBank prior to scheduling development and deployment.
2. DataBank will deploy the solution as agreed upon in the final SDD, signed by all parties.
3. DataBank will deploy the solution in Client's test environment, unless agreed upon by both parties prior to deployment.
4. An up-to-date test environment that closely resembles the production environment is in place prior to deployment. If Client chooses not to establish a test environment, they understand that the system/solution will be deployed into their production environment.
5. DataBank will test the system to assure that it matches the final SDD prior to training.
6. DataBank will perform QAT training and assist with QAT prior to formal training. Any issues or project gaps must be identified, documented and communicated to DataBank project manager at the time of QAT.
7. Client test system will reflect permissions, system restrictions, user accounts, etc. identical to those implemented in the production environment.
8. DataBank will provide formal testing support as defined within the SDD. Any additional testing support requirements are subject to the change order process.
9. During Client testing, the only issues that will be considered to be addressed are those that impact system performance. All other changes will be evaluated at the completion of testing.
10. DataBank will deploy the system into production once it is functioning per the SDD and any negotiated change orders.
11. DataBank will manage/schedule its own resources during the project.
12. Both parties will attend up to 1 project status meeting per week throughout the duration of the project. Attendance will be via remote conference call unless other requirements are agreed upon by both parties prior to acceptance of the SDD. Additional project status requirements are subject to applicable project management fees.
13. DataBank assumes no liability or responsibility for any changes made in the production environment that are not made by a DataBank employee.
14. The Professional Services estimate includes a 20% contingency reserve to account for change orders and additional requests. If the contingency reserve is not used, Client will not be invoiced for the additional 20%.
 - The contingency reserve can be used to fulfill additional requirements found during the project lifecycle.
 - The contingency reserve is in place to cover change orders and keep the project moving forward.
 - An official change order will be created and signed prior to using hours from the contingency reserve.
15. Client has up to 15 days from the Go-Live Date to "Accept" the deployed solution. In the absence of documented exceptions or a signed Work Acceptance document, the solution will be deemed accepted and the project will be closed 15-days subsequent to delivery of the Acceptance document. The go-live date will be set and documented by the DataBank project manager and agreed upon by Client prior to performing Production Deployment as defined in the Scope of Services section in this SOW.
16. After the solution goes live, DataBank will coordinate a "handoff to support". Any issues identified after this handoff will be treated as support issues and fall under the DataBank Hardware/Software Maintenance agreement terms and conditions.
17. Software Manufacturers occasionally publish a schedule that indicates which versions or functionality is no longer supported or being phased into an end-of-life status. DataBank assumes that Client is taking responsibility for monitoring such end-of-life, deprecation, or sunset schedules and taking necessary precautions. If DataBank encounters a condition in the course of its project work that requires action or modification to resolve such an issue, it may result in a change order.

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18. DataBank resources will perform work unimpeded by Client staff monitoring, shadowing, or Client driven remote technology where DataBank resources are limited by client staff availability. A request to monitor/shadow DataBank resources, while welcomed, does impede resource efficiency which has a direct impact on the duration of the project and time needed to complete the project. A change order will be required to cover the increased project time that results from resource monitoring.
19. Change orders will be utilized for all scope changes not specifically stated in the in-scope section of this document. This includes billable and un-billable project changes. Purchase orders will be required for all mutually agreed upon billable changes.
20. Any change orders that are agreed upon during the deployment phase can affect the project schedule. The project schedule will be updated and approved by Client as part of the change order process.

15. Binding Affects and Agreements

This SOW shall be binding upon and shall inure to the benefit of the parties and their respective successors and permitted assigns. Neither party may assign its rights or obligations under this SOW, in whole or in part, to any other person or entity without the prior written consent of the other party. Any change in control resulting from an acquisition, merger or otherwise shall constitute an assignment under the terms of this provision. Any assignment made without compliance with the provisions of this section shall be null and void and of no force or effect.

16. Acceptance of SOW

This SOW represents DataBank's offer to perform the project on the terms set forth herein; and this offer shall be accepted only upon Client signing and delivering this SOW to DataBank within 60 days from the date of this document (the "Acceptance Deadline"). DataBank may withdraw this offer at any time prior to acceptance by Client. In any event, this offer shall be void, and shall for all purposes be deemed to have been withdrawn by DataBank, if this offer is not accepted, in the manner provided above, by Client on or before the Acceptance Deadline.

For purposes of this SOW, a signed copy delivered by facsimile or electronically shall be treated by the parties as an original of this SOW and shall be given the same force and effect.

IN WITNESS WHEREOF, and intending to be legally bound, the parties have executed this SOW as of the date(s) set forth with their respective signatures below.

DataBank IMX

Company Name ("DataBank")

By (Signature)

Printed Name and Title

620 Freedom Business Center, Suite 120

Address

King of Prussia, PA 19406

City, State, Zip

___ / ___ / ___

Dated

Scott County, Iowa

Company Name ("Client")

By (Signature)

Printed Name and Title

Address

City, State, Zip

___ / ___ / ___

Dated

17. Appendix A – QAT Acceptance Form

- ☐ Client acknowledges that Quality Assurance Testing (QAT) has been completed and that the solution has met the specifications identified within the SDD and any subsequent, mutually-signed change orders. No further solution changes will be required before the migration of the solution to the production environment.

Exceptions:

Comments/Reason:

Company Name ("Client")

Project Sponsor Name (Print)

Project Sponsor Signature

Date

Date Submitted ____/____/____

Company: _____

Project Name _____

Deliverable/Milestone	Start Date	End Date	Owner	Status	Notes
Project Kick-off Meeting	2023-01-15	2023-01-15	John Doe	Completed	Initial meeting with stakeholders to define project scope and goals.
Requirement Gathering	2023-01-16	2023-01-25	Jane Smith	In Progress	Collecting requirements from various departments.
System Architecture Design	2023-01-26	2023-02-10	Mike Johnson	Not Started	Designing the overall system architecture.
Database Schema Design	2023-02-11	2023-02-20	Emily White	Not Started	Designing the database schema.
UI/UX Design	2023-02-21	2023-03-10	David Brown	Not Started	Designing the user interface and user experience.
Backend Development	2023-03-11	2023-04-15	Alice Green	Not Started	Developing the backend logic and APIs.
Frontend Development	2023-03-11	2023-04-15	Bob Black	Not Started	Developing the frontend user interface.
Integration Testing	2023-04-16	2023-04-25	Charlie Red	Not Started	Testing the integration of different system components.
User Acceptance Testing	2023-04-26	2023-05-05	Diana Blue	Not Started	Testing the system from the user's perspective.
Deployment	2023-05-06	2023-05-06	John Doe	Not Started	Deploying the system to the production environment.
Post-Deployment Support	2023-05-07	2023-05-31	Jane Smith	Not Started	Providing support and monitoring the system after deployment.

- ☐ Accept Deliverable
- ☐ Decline Deliverable

Comments/Reason:

Company Name ("Client") _____

Project Sponsor Name (Print) _____

Project Sponsor Signature _____ Date _____

THE COUNTY AUDITOR'S SIGNATURE CERTIFIES
THAT THIS RESOLUTION HAS BEEN FORMALLY
APPROVED BY THE BOARD OF SUPERVISORS ON

DATE

SCOTT COUNTY AUDITOR

R E S O L U T I O N

SCOTT COUNTY BOARD OF SUPERVISORS

November 15, 2018

APPROVING ECM PROJECT PHASE 3

BE IT RESOLVED BY the Scott County Board of Supervisors as follows:

Section 1. The authority of the IT Director to sign a statement of work with
DataBank IMX for ECM project phase 3 in the amount of \$48,585 is
hereby approved.

Section 2. This resolution shall take effect immediately.