

**AGREEMENT BETWEEN THE COUNTY OF SAN MATEO AND  
Northwoods Consulting Partners, Inc.**

THIS AGREEMENT, entered into this \_\_\_\_\_ day of \_\_\_\_\_ ,  
20\_\_\_\_, by and between the COUNTY OF SAN MATEO, hereinafter called  
"County," and Northwoods Consulting Partners, Inc., hereinafter called  
"Contractor";

W I T N E S S E T H:

WHEREAS, pursuant to Government Code, Section 31000, County may contract with independent contractors for the furnishing of such services to or for County or any Department thereof;

WHEREAS, it is essential to contract with Northwoods Consulting Partners, Inc. for providing the automation foundation for improving business process inefficiencies and resolve document imaging challenges. Furthermore, improvements to the document management system will eliminate the potential for lost or misplaced documents and allow for documents to be immediately available to others.

**NOW, THEREFORE, IT IS HEREBY AGREED BY THE PARTIES HERETO AS FOLLOWS:**

**1. Exhibits and Attachments**

The following exhibits and attachments are included hereto and incorporated by reference herein:

- Exhibit A— Scope of Work
- Exhibit B—Payments and rates
- Exhibit C- Program Requirements
- Exhibit D – Maintenance and Support Agreement
- Exhibit E – Contractor’s Declaration Form

**2. Services to be performed by Contractor**

In consideration of the payments set forth herein and in Exhibit “B,” Contractor shall perform services for County in accordance with the terms, conditions and specifications set forth herein and in Exhibit “A,” Exhibit “C” and Exhibit “D.”

**3. Payments**

In consideration of the services provided by Contractor in accordance with all terms, conditions and specifications set forth herein and in Exhibit "A," Exhibit "C" and Exhibit "D." County shall make payment to Contractor based on the rates and in the manner specified in Exhibit "B." The County reserves the right to withhold payment if the County determines that the quantity or quality of the work performed is unacceptable. In no event shall the County's total fiscal obligation under this Agreement exceed One Million Two Hundred Fifty Three Thousand Three Hundred Eighteen Dollars, [\$1,253,318].

**4. Term and Termination**

Subject to compliance with all terms and conditions, the term of this Agreement shall be from April 1, 2010 through June 30, 2011.

This Agreement may be terminated by Contractor, the Human Services Agency or his/her designee at any time without a requirement of good cause upon thirty (30) days' written notice to the other party.

In the event of termination, all finished or unfinished documents, data, studies, maps, photographs, reports, and materials (hereafter referred to as materials) prepared by Contractor under this Agreement shall become the property of the County and shall be promptly delivered to the County. Upon termination, the Contractor may make and retain a copy of such materials. Subject to availability of funding, Contractor shall be entitled to receive payment for work/services provided prior to termination of the Agreement. Such payment shall be that portion of the full payment which is determined by comparing the work/services completed to the work/services required by the Agreement.

**5. Availability of Funds**

The County may terminate this Agreement or a portion of the services referenced in the Attachments and Exhibits based upon unavailability of Federal, State, or County funds, by providing written notice to Contractor as soon as is reasonably possible after the County learns of said unavailability of outside funding.

**6. Relationship of Parties**

Contractor agrees and understands that the work/services performed under this Agreement are performed as an independent Contractor and not as an employee of the County and that Contractor acquires none of the rights, privileges, powers, or advantages of County employees.

**7. Hold Harmless**

Contractor shall indemnify and save harmless County, its officers, agents, employees, and servants from all claims, suits, or actions of every name, kind, and description, brought for, or on account of: (A) injuries to or death of any person, including Contractor, or (B) damage to any property of any kind whatsoever and to whomsoever belonging, (C) any sanctions, penalties, or claims of damages resulting from Contractor's failure to comply with the requirements set forth in the Health Insurance Portability and Accountability Act of 1996 (HIPAA) and all Federal regulations promulgated thereunder, as amended, or (D) any other loss or cost, including but not limited to that caused by the concurrent active or passive negligence of County, its officers, agents, employees, or servants, resulting from the performance of any work required of Contractor or payments made pursuant to this Agreement, provided that this shall not apply to injuries or damage for which County has been found in a court of competent jurisdiction to be solely liable by reason of its own negligence or willful misconduct.

The duty of Contractor to indemnify and save harmless as set forth herein, shall include the duty to defend as set forth in Section 2778 of the California Civil Code.

**8. Assignability and Subcontracting**

Contractor shall not assign this Agreement or any portion thereof to a third party or subcontract with a third party to provide services required by contractor under this Agreement without the prior written consent of County. Any such assignment or subcontract without the County's prior written consent shall give County the right to automatically and immediately terminate this Agreement.

**9. Insurance**

The Contractor shall not commence work or be required to commence work under this Agreement unless and until all insurance required under this paragraph has been obtained and such insurance has been approved by Risk Management, and Contractor shall use diligence to obtain such insurance and to obtain such approval. The Contractor shall furnish the County with certificates of insurance evidencing the required coverage, and there shall be a specific contractual liability endorsement extending the Contractor's coverage to include the contractual liability assumed by the Contractor pursuant to this Agreement. These certificates shall specify or be endorsed to provide that thirty (30) days' notice must be given, in writing, to the County of any pending change in the limits of liability or of any cancellation or modification of the policy.

**(1) Worker's Compensation and Employer's Liability Insurance**

The Contractor shall have in effect during the entire life of this Agreement Workers' Compensation and Employer's Liability Insurance providing full statutory coverage. In signing this Agreement, the Contractor certifies, as

required by Section 1861 of the California Labor Code, that it is aware of the provisions of Section 3700 of the California Labor Code which requires every employer to be insured against liability for Worker's Compensation or to undertake self-insurance in accordance with the provisions of the Code, and I will comply with such provisions before commencing the performance of the work of this Agreement.

(2) **Liability Insurance**

The Contractor shall take out and maintain during the life of this Agreement such Bodily Injury Liability and Property Damage Liability Insurance as shall protect him/her while performing work covered by this Agreement from any and all claims for damages for bodily injury, including accidental death, as well as any and all claims for property damage which may arise from contractors operations under this Agreement, whether such operations be by himself/herself or by any sub-contractor or by anyone directly or indirectly employed by either of them. Such insurance shall be combined single limit bodily injury and property damage for each occurrence and shall be not less than the amount specified below.

Such insurance shall include:

- (a) Comprehensive General Liability . . . . . \$1,000,000  
    . . .
- (b) Motor Vehicle Liability Insurance . . . . . \$1,000,000  
    . . .
- (c) Professional Liability . . . . . \$1,000,000  
    . . .

County and its officers, agents, employees and servants shall be named as additional insured on any such policies of insurance, which shall also contain a provision that the insurance afforded thereby to the County, its officers, agents, employees and servants shall be primary insurance to the full limits of liability of the policy, and that if the County or its officers and employees have other insurance against the loss covered by such a policy, such other insurance shall be excess insurance only.

In the event of the breach of any provision of this section, or in the event any notice is received which indicates any required insurance coverage will be diminished or canceled, the County of San Mateo at its option, may, notwithstanding any other provision of this Agreement to the contrary, immediately declare a material breach of this Agreement and suspend all further work pursuant to this Agreement.

**10. Compliance with laws; payment of Permits/Licenses**

All services to be performed by Contractor pursuant to this Agreement shall be performed in accordance with all applicable Federal, State, County, and municipal laws, including, but not limited to, Health Insurance Portability and Accountability Act of 1996 (HIPAA) and all Federal regulations promulgated thereunder, as amended, and the Americans with Disabilities Act of 1990, as amended, and Section 504 of the Rehabilitation Act of 1973, as amended and attached hereto and incorporated by reference herein as Attachment "I," which prohibits discrimination on the basis of handicap in programs and activities receiving any Federal or County financial assistance. Such services shall also be performed in accordance with all applicable ordinances and regulations, including, but not limited to, appropriate licensure, certification regulations, provisions pertaining to confidentiality of records, and applicable quality assurance regulations. Further, Contractor certifies that the Contractor and all of its subcontractors will adhere to all applicable provisions of Chapter 4.106 of the San Mateo County Ordinance Code, which regulates the use of disposable food service ware.

In the event of a conflict between the terms of this agreement and State, Federal, County, or municipal law or regulations, the requirements of the applicable law will take precedence over the requirements set forth in this Agreement.

Contractor will timely and accurately complete, sign, and submit all necessary documentation of compliance.

**11. Non-Discrimination and Other Requirements**

- A. *Section 504 applies only to Contractor who are providing services to members of the public.* Contractor shall comply with § 504 of the Rehabilitation Act of 1973, which provides that no otherwise qualified handicapped individual shall, solely by reason of a disability, be excluded from the participation in, be denied the benefits of, or be subjected to discrimination in the performance of this Agreement.
- B. *General non-discrimination.* No person shall, on the grounds of race, color, religion, ancestry, gender, age (over 40), national origin, medical condition (cancer), physical or mental disability, sexual orientation, pregnancy, childbirth or related medical condition, marital status, or political affiliation be denied any benefits or subject to discrimination under this Agreement.
- C. *Equal employment opportunity.* Contractor shall ensure equal employment opportunity based on objective standards of recruitment, classification, selection, promotion, compensation, performance evaluation, and management relations for all employees under this Agreement. Contractor's equal employment policies shall be made available to County of San Mateo upon request.

- D. *Violation of Non-discrimination provisions.* Violation of the non-discrimination provisions of this Agreement shall be considered a breach of this Agreement and subject the Contractor to penalties, to be determined by the County Manager, including but not limited to
- i) termination of this Agreement;
  - ii) disqualification of the Contractor from bidding on or being awarded a County contract for a period of up to 3 years;
  - iii) liquidated damages of \$2,500 per violation;
  - iv) imposition of other appropriate contractual and civil remedies and sanctions, as determined by the County Manager.

To effectuate the provisions of this section, the County Manager shall have the authority to examine Contractor's employment records with respect to compliance with this paragraph and/or to set off all or any portion of the amount described in this paragraph against amounts due to Contractor under the Contract or any other Contract between Contractor and County.

Contractor shall report to the County Manager the filing by any person in any court of any complaint of discrimination or the filing by any person of any and all charges with the Equal Employment Opportunity Commission, the Fair Employment and Housing Commission or any other entity charged with the investigation of allegations within 30 days of such filing, provided that within such 30 days such entity has not notified Contractor that such charges are dismissed or otherwise unfounded. Such notification shall include the name of the complainant, a copy of such complaint, and a description of the circumstance. Contractor shall provide County with a copy of their response to the Complaint when filed.

- E. *Compliance with Equal Benefits Ordinance.* With respect to the provision of employee benefits, Contractor shall comply with the County Ordinance which prohibits contractors from discriminating in the provision of employee benefits between an employee with a domestic partner and an employee with a spouse.
- F. The Contractor shall comply fully with the non-discrimination requirements required by 41 CFR 60-741.5(a), which is incorporated herein as if fully set forth.

**12. Compliance with Contractor Employee Jury Service Ordinance**

Contractor shall comply with the County Ordinance with respect to provision of jury duty pay to employees and have and adhere to a written policy that provides that its employees shall receive from the Contractor, on an annual basis, no less than five days of regular pay for actual jury service in San Mateo County. The policy may provide that employees deposit any fees received for such jury service with the Contractor or that the Contractor deduct from the employees' regular pay the fees received for jury service.

**13. Retention of Records, Right to Monitor and Audit**

(a) CONTRACTOR shall maintain all required records for three (3) years after the COUNTY makes final payment and all other pending matters are closed, and shall be subject to the examination and/or audit of the County, a Federal grantor agency, and the State of California.

(b) Reporting and Record Keeping: CONTRACTOR shall comply with all program and fiscal reporting requirements set forth by appropriate Federal, State and local agencies, and as required by the COUNTY.

(c) CONTRACTOR agrees to provide to COUNTY, to any Federal or State department having monitoring or review authority, to COUNTY's authorized representatives, and/or their appropriate audit agencies upon reasonable notice, access to and the right to examine all records and documents necessary to determine compliance with relevant Federal, State, and local statutes, rules and regulations, and this Agreement, and to evaluate the quality, appropriateness and timeliness of services performed.

**14. Merger Clause**

This Agreement, including the Exhibits attached hereto and incorporated herein by reference, constitutes the sole Agreement of the parties hereto and correctly states the rights, duties, and obligations of each party as of this document's date. In the event that any term, condition, provision, requirement or specification set forth in this body of the agreement conflicts with or is inconsistent with any term, condition, provision, requirement or specification in any exhibit and/or attachment to this agreement, the provisions of this body of the agreement shall prevail. Any prior agreement, promises, negotiations, or representations between the parties not expressly stated in this document are not binding. All subsequent modifications shall be in writing and signed by the parties.

**15. Controlling Law and Venue**

The validity of this Agreement and of its terms or provisions, as well as the rights and duties of the parties hereunder, the interpretation, and performance of this Agreement shall be governed by the laws of the State of California. Any dispute arising out of this Agreement shall be venued either in the San Mateo County Superior Court or the United States District Court for the Northern District of California.

**16. Notices**

Any notice, request, demand, or other communication required or permitted hereunder shall be deemed to be properly given when both (1) transmitted via facsimile to the telephone number listed below and (2) either deposited in the United States mail, postage prepaid, or when deposited for overnight delivery with an established overnight courier that provides a tracking number showing confirmation of receipt for transmittal, charges prepaid, addressed to:

**In the case of County, to:**

Clarisa Simon-Soriano  
1 Davis Drive  
Belmont, CA 94002

**In the case of Contractor, to:**

Chris McConnel  
6315 Emerald Parkway  
Dublin, Ohio 43016

In the event that the facsimile transmission is not possible, notice shall be given both by United States mail and an overnight courier as outlined above.

IN WITNESS WHEREOF, the parties hereto, by their duly authorized representatives, have affixed their hands.

COUNTY OF SAN MATEO

By: \_\_\_\_\_  
Richard S. Gordon  
President, Board of Supervisors

Date: \_\_\_\_\_

ATTEST:

By: \_\_\_\_\_  
Clerk of Said Board

Northwoods Consulting Partners, Inc.

\_\_\_\_\_  
Contractor's Signature

Date: \_\_\_\_\_



## **Project Scope**

Phase I was completed in 2008 and San Mateo HSA has been using OnBase in the production environment. Phase II expands on the functionality of Phase I by implementing distributed capture of documents, electronic forms processing and task tracking. Implementation of these functionalities is achieved through three primary activities:

- Install, configure and deploy technologies;
- Test and validate the solution in a test environment and limited production environment; and
- Implement the solution in a full scale production environment.

The following professional services are included in the project:

- Professional project management from project kickoff to project acceptance;
- Acquisition, installation, and testing of all software for the proposed solution;
- Evaluation of current operations to determine configuration/customization requirements;
- Configuration of software to meet functional and non-functional requirements;
- Training and documentation for end users;
- Training for IT personnel; and
- In-unit implementation support.

Specific activities and responsibilities associated with these services are identified in the Work Requirements section.

## **Anticipated Outcomes**

The Project Team consists of resources from Northwoods Consulting Partners (Northwoods), San Mateo County Information Technology (IT), and San Mateo County HSA staff (HSA). With participation and assistance from San Mateo County IT and HSA, Northwoods will achieve the following outcomes:

## **Technology Infrastructure**

- Installation and configuration of a document management infrastructure capable of hosting a minimum of two million images of Medi-Cal CalWorks, Foodstamps, and General Assistance case files;
- Provide specific hardware specifications to County IT for all hardware required to run the electronic document management system;

- Acquisition, installation and configuration for all software required to run the electronic document management system;
- Varying levels of security to prevent unauthorized manipulation of data;
- System access through integration with Microsoft Active Directory;
- Client-server design in which application programs load from the local workstation client hard drive and access a network database server for property information shared by all client workstations;
- Extensibility to accommodate future business demands of IVR and CTI; and
- Daily information extracts from the Medi-Cal state application CalWIN for autofill purposes.

## **Electronic Content Management**

- Improve access to client files by electronically capturing pertinent documentation once and allowing authorized staff, including office support staff, caseworkers, and supervisors, to view digital images immediately;
- Improve the efficiency of office support staff by reducing or eliminating the need to sort, deliver and transfer paper case files;
- Electronic document capture at the point-of-entry at a minimum of six regional offices;
- Search and autofill of client demographic fields; and
- System generated receipt of items received.

## **Electronic Forms**

- Improve and ensure document quality and integrity by implementing the use of online applications and bar-coded paper eligibility determinations forms;
- Electronic reproduction of hard copy forms, including State Medi-Cal and County forms, through a form design application;
- Electronic completion of forms to include search and autofill of client demographic fields, digital signatures/initials and keyword indexing;
- Electronic storage and retrieval of forms; and
- Integration of bar-coded forms to transfer imaged content into Task Tracker for application processing.

## **Task Tracking Application**

- Improve the ability of eligibility managers and supervisors to monitor and track tasks of work assigned to staff;
- Reduce the need of office support staff to manually create work assignments in a task tracking System;
- Manual assignment of incoming tasks to individual case workers;

- Automatic assignment of tasks at the time eligibility documents are imaged;
- Search and autofill of client demographic fields;
- Configurable work assignment types for specified due dates;
- Task management capabilities to include search of task assignments, progress updates, and notification of completion; and
- Concurrent access to task activity reports against defined goals (performance reporting) and supervisor/management reports on the numbers of tasks assigned or completed during a given time frame.

## Solution Components

Northwoods, with assistance from San Mateo County IT and HSA, is responsible for deploying all hardware, software, and professional services necessary to create a production environment that makes efficient use of the following components of the Document Management System.

### Technology Installation and Configuration

**Hardware:** The Project Team configures all requisite hardware to support the Document Management technologies:

- Distributed Capture Stations (with receipt printer) (20): Permit the scanning of documents in a shared environment.
- Desktop scanners (with receipt printer) (34): Permit the scanning of documents in a desktop environment.
- Flat panel monitors (with dual VGA adapter) (208): Allow for dual display of documents and other computer applications.
- Label printers (9): Allow mailroom personnel to print labels with client name and address information on return envelopes.
- Numeric keypads (6): Provide enhanced confidentiality by allowing client to enter their social security number through keyboard entry.

**Prerequisite system software:** The Project Team installs and configures all prerequisite software systems needed to ensure that Document Management technologies can be operated effectively. This includes operating systems, service packs, anti-virus, and so on.

**Application software:** The Project Team ensures that all application software required to implement the Document Management technologies is appropriately installed and configured. Application software includes:

- Compass Pilot®: Serves as the control center where end users can capture, view, and track electronic documents—all through one unified interface.
  - Compass Capture®: Provides for the front-end scanning of documents.
  - Compass Forms®: Allows for the design, management, and use of electronic forms.

- Compass Print Stream Processor®: Enables users to virtually print electronic documents (email, Word documents, web pages, etc.) into central repository.
  - Compass Task Tracker®: Allows for the automated or manual routing, assignment and tracking of electronic documents and task activities.
- OnBase®: Provides for the storage and back-end retrieval of document images and is already installed. Compass applications will integrate with OnBase to seamlessly import documents from Compass Capture and Compass Forms.

**Exhibit B  
Payments and Rates**

# Costs

## Functional Group 1 - Electronic Document Management/Task Tracker

### Compass Software

Description	Code	Price Each	Qty	Total Price
<i>Client Software Modules</i>				
Capture	SW-CAP-W3	\$1,600.00	54	\$86,400.00
Pilot	SW-PLT-U4	\$500.00	264	\$132,000.00
Task Tracker	SW-TTR-U1	\$300.00	50	\$15,000.00
<i>Server Software Modules</i>				
Data Migrator	SW-DTM-C4	N/A	179	\$9,600.00
<b>Total for Compass Software</b>				<b>\$243,000.00</b>

### OnBase Software

Description	Code	Price Each	Qty	Total Price
<i>Client Software Modules</i>				
OnBase Named User Client	CTIPN1	IN PLACE	150	\$0.00
OnBase Named User Client	CTIPN1	\$480.00	114	\$54,720.00
OnBase Concurrent Client	CTIPC1	IN PLACE	50	\$0.00
<i>Server Software Modules</i>				
OnBase Multi-User License	OBIPW1	IN PLACE	1	\$0.00
OnBase Application Enabler	AEIPI1	IN PLACE	1	\$0.00
OnBase DVD Authoring	DVIPW1	IN PLACE	1	\$0.00
OnBase Distributed Disk Services	DSIPI1	IN PLACE	1	\$0.00
OnBase Virtual Print Driver	PTIPC1	IN PLACE	1	\$0.00
OnBase Document Import Processor	DPIPW1	IN PLACE	1	\$0.00
OnBase Integration for Kofax Capture	KXIP11	IN PLACE	1	\$0.00
OnBase Archival API	ARIPI1	IN PLACE	1	\$0.00
OnBase Unity Integration Toolkit	UIIPI1	\$8,000.00	1	\$8,000.00
<b>Total for OnBase Software</b>				<b>\$62,720.00</b>

### Hardware and Other Software

Description	Price Each	Qty	Total Price
<i>Distributed Capture Systems</i>			
Fujitsu fi-6130C Desktop Scanner - County will purchase separately		54	\$0.00
Accufax Document Carriers (10 Pack) - County will purchase separately		6	\$0.00
Distributed Scanning PC - County will purchase separately		22	\$0.00
15" Touch Screen Display - County will purchase separately		20	\$0.00
Receipt Printer - County will purchase separately		20	\$0.00
Distributed Scanning Furniture - County will purchase separately		20	\$0.00
Label Printer - County will purchase separately		9	\$0.00
USB Numeric Keypad - County will purchase separately		6	\$0.00
<i>Server Hardware and Software</i>			
Server Infrastructure - County will purchase separately		1	\$0.00
<i>Other Hardware and Software</i>			
Dual VGA Adapters - County will purchase separately		208	\$0.00
17" Flat Panel Monitors - County will purchase separately		208	\$0.00
<b>Total for Hardware and Other Software</b>			<b>\$0.00</b>

### Northwoods Professional Services

Description	Total Price
Professional Services	\$485,275.00
<b>Total for Professional Services</b>	<b>\$485,275.00</b>

**Electronic Document Management Total Solution Price..... \$790,995.00**

### Annual Maintenance Agreements

Description	Code	Price Each	Qty	Total Price
Compass Software Maintenance	MS-SMA-A1	\$48,600.00	1	\$48,600.00
OnBase Software Maintenance	MAINT1	\$12,544.00	1	\$12,544.00
Northwoods OnSite Maintenance Plan	MS-NMP-A1	\$33,629.20	1	\$33,629.20
<b>Total for Annual Maintenance Agreements</b>				<b>\$94,773.20</b>

**Total Solution Price Including First Year Maintenance..... \$885,768.20**

## Functional Group 2 - Electronic Forms

### Compass Software

Description	Code	Price Each	Qty	Total Price
Forms (101-500 Users)	SW-FRM-U4	\$675.00	185	\$124,875.00
Forms Center Manager	SW-FCM-Y1	\$8,000.00	1	\$8,000.00
Print Stream Processor (101-500 Users)	SW-PSP-U4	\$155.00	185	\$28,675.00
Mail Merge	SW-MM-U4	\$20,000.00	1	\$20,000.00
<b>Total for Compass Software</b>				<b>\$181,550.00</b>

### Hardware and Other Software

Description	Price Each	Qty	Total Price
Topaz Signature Pads - County will purchase separately		176	\$0.00
<b>Total for Hardware and Other Software</b>			<b>\$0.00</b>

### Northwoods Professional Services

Description	Total Price
Professional Services	\$129,720.00
<b>Total for Professional Services</b>	<b>\$129,720.00</b>

**Electronic Forms Total Solution Price..... \$311,270.00**

### Annual Maintenance Agreements

Description	Code	Price Each	Qty	Total Price
Compass Software Maintenance	MS-SMA-A1	\$36,310.00	1	\$36,310.00
Northwoods OnSite Maintenance Plan	MS-NMP-A1	\$19,970.50	1	\$19,970.50
<b>Total for Annual Maintenance Agreements</b>				<b>\$56,280.50</b>

**Total Solution Price Including First Year Maintenance..... \$367,550.50**

# Payment Schedule

The County shall pay Contractor after each milestone is accomplished, and upon receipt and approval of invoice by the Director of Human Services Agency or her designee. The milestones are listed as followed:

Project Phase	Percent	Dollar Amount	Related Deliverable(s)
Software Delivery	100% of Software Cost & Maintenance	\$638,323.70	<ul style="list-style-type: none"> <li>• Delivery of software to agency</li> </ul>
Startup	5% of Professional Services Cost	\$30,749.75	<ul style="list-style-type: none"> <li>• Sales Handoff Meeting</li> <li>• Approved Statement of Work</li> <li>• Approved Project Management Plan</li> <li>• Approved Project Schedule</li> <li>• Approved Staffing Plan</li> <li>• Approved Training and Implementation Plan</li> <li>• Information Technology meeting</li> <li>• Sponsor Planning Meeting</li> <li>• Project Kickoff</li> </ul>
Requirements and Design	30% of Professional Services Cost	\$184,498.50	<ul style="list-style-type: none"> <li>• Functional Review</li> <li>• Business Requirements Analysis</li> <li>• System Design Document</li> <li>• Functional Specification</li> <li>• Initial Taxonomy</li> <li>• Forms Conversion</li> <li>• Preliminary Software Configuration</li> </ul>
Pilot	25% of Professional Services Cost	\$153,748.75	<ul style="list-style-type: none"> <li>• Limited Production Client Hardware Deployment</li> <li>• Limited Production Client-side Software Deployment</li> <li>• Requirements Validation</li> <li>• Initial System Testing</li> <li>• Pilot Operations</li> <li>• Finalized Taxonomy</li> <li>• Finalized System Configuration</li> <li>• Finalized Training Materials</li> </ul>
Implementation	35% of Professional Services Cost	\$215,248.25	<ul style="list-style-type: none"> <li>• Full Production Client Hardware Deployment</li> <li>• Full Production Client-Side Software Deployment</li> <li>• Full Production Rollout</li> </ul>
Closeout	5% of Professional Services Cost	\$30,749.75	<ul style="list-style-type: none"> <li>• Final Risks and Issues Log</li> <li>• Project Closure Report</li> <li>• Maintenance and Support Handoff</li> </ul>
<b>Total</b>		<b>\$1,253,318.70</b>	



# Work Requirements

The following work requirements define the specific tasks to be completed by the Project Team as related to each project phase. The timeline for completion is determined by a mutually agreed upon work plan, yet to be developed.

## 1<sup>st</sup> Milestone – Software Delivery

## 2<sup>nd</sup> Milestone – Startup Phase

### Objectives

1. Plan and initiate and the project.
2. Assemble project team and secure required resources.

### Deliverables

- Sales Handoff Meeting
- Information Technology Meeting
- Sponsor Planning Meeting
- Approved Statement of Work
- Approved Project Management Plan
  - Project Management Procedures
  - Staffing Management Plan
  - Risk Management Plan
  - Quality Management Plan
  - Change Management Plan
  - Communication Plan
  - Knowledge Transfer Plan
- Approved Project Schedule
- Approved Staffing Plan
- Hardware and Software Review
- Project Kickoff
- Approved Training and Implementation Plan
  - Training Requirements
  - Training Strategy
  - Training Schedule
  - Hardware and Software Deployment Strategy

- Business Continuity Plan
- Project Monitoring and Controlling
- Status Review Meetings
- Written Status Reports
- Phase Gate Closure

## Related Activities

Code	Description	Responsible Party
STR1	Assign a vendor Project Manager and advise the agency project sponsor of the assignment	Northwoods
STR2	Hold sales handoff meeting to discuss expectations, risks, and constraints related to project scope, schedule, budget, and quality.	Northwoods
STR3	Hold Information Technology (IT) meeting with IT staff to identify technical requirements and discuss implementation timelines	Northwoods
STR4	Meet with Project Sponsor and other key stakeholders to outline project goals and roles and responsibilities of team members; clarify expectations of all parties; and create a shared commitment towards project success	Northwoods
STR5	Develop and maintain a comprehensive Project Management Plan which describes the basis and guiding principles for managing the Document Management project	Northwoods
STR6	Review and approve the Project Management Plan	County (HSA)
STR7	Develop and maintain a detailed Project Schedule to include deliverable task activity descriptions, sequencing , and dependencies; anticipated durations and start and completion dates for each task activity; estimated work effort and resource assignments for each task activity; fixed deadlines; project milestones	Northwoods
STR8	Review and approve Project Schedule	County (IT & HSA)
STR9	Identify and assign Project Team members based on team member roles identified in roles and responsibilities section	Northwoods
STR10	Identify and assign IT and HSA Project Teams members based on roles identified in roles and responsibilities section	County (IT & HSA)
STR11	Provide IT project manager and HSA project manager with a Staffing Plan to include IT and HSA Project Team members	Northwoods
STR12	Review and approve Staffing Plan	County (IT & HSA)

STR13	Consistent with approved Staffing Plan, modify regular work assignments for IT and HSA Project Team members to allow sufficient time to devote to the project	County (IT & HSA)
STR14	Attend semi-monthly status meetings with IT project manager and HSA project manager and Project Sponsor throughout duration of project to review progress and detailed plans, and identify and communicate potential risks and issues that may affect the schedule, budget or deliverables	Northwoods
STR15	Attend and participate in all project related meetings requested by the IT project manager and HSA project manager	Northwoods
STR16	Provide written semi-monthly status reports delivered to the HSA Project Manager	Northwoods
STR17	Approve the format for semi-monthly status review meetings and written status reports	County (IT & HSA)
STR18	Review Statement of Work (SOW) and hardware and software requirements with IT project manager and HSA project manager	Northwoods
STR19	Develop a Communication Plan to provide a comprehensive approach for handling communications with both internal and external audiences	Northwoods
STR20	Review and approve Communication Plan	County (IT & HSA)
STR21	Develop a risk management plan to ensure risks are identified, planned for, analyzed, communicated and acted upon effectively	Northwoods
STR22	Review and approve Risk Management Plan	County (IT & HSA)
STR23	Develop a Quality Management Plan including, but not limited to, the methodology for maintaining product quality, project schedules, and subcontractor activities	Northwoods
STR24	Review and approve Quality Management Plan	County (IT & HSA)
STR25	Develop a Change Management Plan to include control procedures; design specifications, construction, implementation; and support of the system	Northwoods
STR26	Review and approve Change Management Plan	County (IT & HSA)
STR27	Develop a Knowledge Transfer Plan to ensure IT and HSA staff can independently operate the system and obtain effective support from the Northwoods when necessary	County (IT & HSA)
STR28	Review and approve Knowledge Transfer Plan	County (IT & HSA)
STR29	Develop and maintain a Training and Implementation Plan to include training requirements, strategy and schedule, hardware and software deployment strategy; and Business Continuity Plan	Northwoods

STR30	Review and approve Training and Implementation Plan	County (IT & HSA)
STR31	Facilitate agency Kickoff Meeting, including product demonstrations, at the agency site to formally kickoff project	Northwoods
STR32	Facilitate semi-monthly status review meetings	Northwoods
STR33	Attend semi-monthly status review meetings	County (IT & HSA)
STR34	Prepare and distribute semi-monthly written status reports	Northwoods
STR35	Review semi-monthly written status reports	County (IT & HSA)
STR36	Hold phase gate review with IT project manager and HSA project manager to validate deliverables have been met and officially closeout the phase	County (HSA)

### 3<sup>rd</sup> Milestone – Requirements and Design Phase

#### Objectives

1. Prepare for hardware and software deployment
2. Identify business (functional) and system (non-functional) requirements
3. Complete preliminary software configuration
4. Complete preliminary hardware specifications and configurations

#### Deliverables

- Business Requirements Analysis – Summarizes technology and business process assessments, documents “as-is” business processes, identifies project requirements (functional and non-functional)
- System Design Document – Identifies “to-be” business processes and describes how the functional and nonfunctional requirements recorded in the Business Requirements Analysis are transformed into system design specifications from which the system will be built
- Functional Specification – Details functional product specifications used for initial system configuration
- Installation of application software on server(s)
- Initial Taxonomy – Provides baseline document groups and document types used for preliminary software configuration and validated during pilot operations
- Forms Conversion – Conversion of existing paper based and electronic forms into Compass Forms format by HSA staff (number of forms to be determined in Start Up Phase)
- Test Plan – Describes the approach to testing requirements, test environment, testing process and success criteria used to measure the system against desired results as it is developed.

- Preliminary Software Configuration
- Preliminary Hardware specifications and configurations
- Complete set of system documentation and training materials in an electronic form
- Project Monitoring and Controlling
- Status Review Meetings
- Written Status Reports
- Phase Gate Review

## Related Activities

Code	Description	Responsible Party
DES1	Provide consultation and/or documentation for IT to perform a site survey	Northwoods
DES 2	Perform a site survey to determine readiness of the site to support solution hardware and software	County (IT)
DES3	Make any site/network modifications required to provide necessary bandwidth and support system hardware/software	County (IT)
DES4	Submit necessary purchase orders to procure all system hardware	Northwoods
DES5	Install any additional electrical outlets and network drops for scanning stations	County (IT)
DES6	Inventory all system hardware and initiate any needed exchanges for hardware components that were shipped incorrectly or follow-up on missing/damaged hardware components	County (IT)
DES7	Provide appropriate consultation and/or documentation for IT to perform initial licensing for all prerequisite software on production servers	Northwoods
DES8	Perform initial licensing for all prerequisite software on production servers, including all updates and patches for Windows Server 2003 operating system, SQL Server, and anti-virus prerequisite system software on test and production servers	County (IT)
DES9	Recommend a backup and disaster recovery procedure	Northwoods
DES10	Configure back-up jobs and perform daily backups of all related systems, database, and data files and maintaining current backed-up copies of other pertinent systems and data files	County (IT)
DES11	Perform daily backup operations for all related systems, database, and data files	County (IT)
DES12	For the duration of the project, provide VPN or Hamachi (Logmein.com) remote access to Northwoods engineers to the system server and image file shares	County (IT)

Code	Description	Responsible Party
DES13	For the duration of the project, establish a network account for Northwoods engineers to configure and/or review software installed on client and test server computers	County (IT)
DES14	Configure production server to define keywords, auto-fill keyword sets, and other configurable options; create users, user groups, and establish the appropriate security levels for system users	Northwoods
DES15	Provide appropriate system access for Northwoods engineers to configure daily extracts from the Medi-Cal state application CalWIN	County (IT)
DES16	Configure daily information extracts from the Medi-Cal state application CalWIN for autofill purposes	Northwoods
DES17	Provide consultation and/or documentation for IT to deploy hardware	Northwoods
DES18	Facilitate taxonomy meeting(s) and provide sample document mappings for County of San Mateo HSA to determine filing structure used to name and organize electronic documents (taxonomy)	Northwoods
DES19	Participate in taxonomy meeting(s) and provide finalized copy of taxonomy to Northwoods Project Manager	County (HSA)
DES20	Prepare and submit business requirements interview schedule	Northwoods
DES21	Review and approve business requirements interview schedule	County (HSA)
DES22	Facilitate business requirements interviews with HSA subject matter experts to determine business (functional) and system requirements (non-functional)	Northwoods
DES23	Participate in business requirements interviews	County (HSA)
DES24	Create and submit Business Requirements Analysis, System Design Document, Functional Specifications, Test Plan to IT project manager and HSA project manager for review and approval	Northwoods
DES25	Review and approve Business Requirements Analysis	County (HSA)
DES26	Create and maintain a Requirements Traceability Matrix	Northwoods
DES27	Based on identified requirements, complete preliminary configuration of application software	Northwoods
DES28	Deliver Forms Center Manager training for up to 5 form designers	Northwoods
DES29	Convert existing paper based and electronic forms into Compass Forms format (number of forms to be determined in Start Up Phase)	County (HSA)
DES30	Provide in-unit rollout support for forms designers	Northwoods
DES31	Facilitate semi-monthly status review meetings	Northwoods
DES32	Attend semi-monthly status review meetings	County (IT & HSA)
DES33	Prepare and distribute semi-monthly written status reports	Northwoods

Code	Description	Responsible Party
DES34	Review semi-monthly written status reports	County (IT & HSA)
DES35	Hold phase gate review with IT project manager and HSA project manager to validate deliverables have been met and officially closeout the phase	Northwoods

## 4<sup>th</sup> Milestone – Pilot Phase

### Objective

1. Verify that all business and system requirements are behaving according to the Functional Specification.

### Deliverables

- Limited Production Client Hardware Deployment
- Limited Production Client-Side Software Deployment
- Initial System Testing – Confirms in a test environment that configured hardware and software systems meet mutually agreed-upon requirements prior to limited production pilot operations
- Pilot Operations
- Requirements Validation – As part of the test plan, validates through Requirements Traceability Matrix all mutually agreed-upon requirements are satisfied
- Finalized Taxonomy – Final approval of document groups and document types following validation during pilot operations
- Finalized System Configuration – Confirmation by key stakeholders (following pilot operations and prototype review) that the prototype solution meets or exceeds all requirements prior to full scale production rollout
- Finalized Training Materials – Final development of training materials to meet the needs of any additional training requirements uncovered during pilot operations
- Project Monitoring and Controlling
- Status Review Meetings
- Written Status Reports
- Phase Gate Review

### Related Activities

Code	Description	Responsible Party
PLT1	Develop Test Plan to monitor the configuration, testing and implementation to ensure product quality and satisfaction of requirements	Northwoods
PLT2	Review and approve Test Plan	County (IT & HSA)

Code	Description	Responsible Party
PLT3	Deploy scan stations, desktop scanners, signature pads, dual monitors (with dual VGA or USB adapters) , label printers and numeric keypads for pilot operations	County (IT)
PLT4	Deploy client-side software to pilot team workstations	County (IT)
PLT5	According to approved Test Plan, perform initial testing of hardware and software systems	Northwoods
PLT6	Document and distribute test results	Northwoods
PLT7	Review test results	County (IT)
PLT8	Modify tested hardware and software systems as needed to prepare for pilot operations	Northwoods
PLT9	Prepare a plan to ensure there is minimal disruption of business continuity before, during and after system implementation	Northwoods
PLT10	Review and approve Business Continuity Plan	County (IT)
PLT11	According to approved Training Plan, provide the appropriate training facilities for on site pilot team training (available for set up one day in advance of any scheduled training )	County (HSA)
PLT12	According to approved Training Plan, deliver training for a total of up to 40 pilot team members	Northwoods
PLT13	Validate software configuration during Limited Production pilot operations	County (HSA)
PLT14	Provide in-unit rollout support during pilot operations	Northwoods
PLT15	As a result of pilot operations, update configuration of hardware and software systems to meet identified requirements	Northwoods
PLT16	Hold prototype review with key stakeholders to demonstrate final configuration of hardware and software systems	Northwoods
PLT17	Approve final software configuration for Full Production implementation	County (HSA)
PLT18	Facilitate semi-monthly status review meetings	Northwoods
PLT19	Attend semi-monthly status review meetings	County (IT & HSA)
PLT20	Prepare and distribute semi-monthly written status reports	Northwoods
PLT21	Review semi-monthly written status reports	County (IT & HSA)
PLT22	Hold phase gate review with IT project manager and HSA project manager to validate deliverables have been met and officially closeout the phase	Northwoods



## 5<sup>th</sup> Milestone – Implementation Phase

### Objective

1. Deploy full production hardware and client-side software.
2. Train and support end users on system functions and new/revised business processes.

### Deliverables

- Full Production Client Hardware Deployment
- Full Production Client-Side Software Deployment
- Delivered End User Training
- Full Production In-Unit Rollout Support
- Project Monitoring and Controlling
- Status Review Meetings
- Written Status Reports
- Phase Gate Review

### Related Activities

Code	Description	Responsible Party
IMP1	Finalize training material	Northwoods
IMP2	Deploy client-side software for Full Production implementation	County (IT)
IMP3	Deploy scan stations, desktop scanners, signature pads, dual monitors (with dual VGA or USB adapters) , label printers and numeric keypads for Full Production implementation	County (IT)
IMP4	According to approved Training Plan, provide the appropriate training facilities for on site agency training (available for set up one day in advance of any scheduled training )	County (HSA)
IMP5	According to approved Training Plan, deliver end user training for all full production training sessions	Northwoods
IMP6	According to approved Training Plan, deliver training for up to 5 system administrators	Northwoods
IMP7	According to approved Training Plan, deliver training for up to 5 application administrators	Northwoods
IMP8	Provide in-unit implementation support	Northwoods
IMP9	Assist with in-unit implementation support	County HSA (Pilot Team)
IMP10	Facilitate semi-monthly status review meetings	Northwoods
IMP11	Attend semi-monthly status review meetings	County (IT &

		HSA)
IMP12	Prepare and distribute semi-monthly written status reports	Northwoods
IMP13	Review semi-monthly written status reports	County (IT & HSA)
IMP14	Hold phase gate review with IT project manager and HSA project manager to validate deliverables have been met and officially closeout the phase	County (IT & HSA)

## 6<sup>th</sup> Milestone – Closeout Phase

### Objective

1. Verify completion of objectives and quality of all project deliverables.
2. Formally close the project.

### Deliverables

- Phase Gate Review
- Final Risks and Issues Log
- Project Closure Report
- Project Monitoring and Controlling
- Status Review Meetings
- Written Status Reports
- Maintenance and Support Handoff
- Project Post Implementation Evaluation Report
- Administrative Closure

### Related Activities

Code	Description	Responsible Party
CLS1	Finalize and distribute technical documentation	Northwoods
CLS2	Distribute system warranty information	Northwoods
CLS3	Develop and distribute Maintenance Support Matrix	Northwoods
CLS4	Review maintenance and support protocol/procedures with IT and HSA staff	Northwoods
CLS5	Review outstanding issues and workarounds with IT project manager and HSA project manager	Northwoods
CLS6	Facilitate semi-monthly status review meetings	Northwoods
CLS7	Attend semi-monthly status review meetings	County (IT & HSA)
CLS8	Prepare and distribute semi-monthly written status reports	Northwoods
CLS9	Review semi-monthly written status reports	County (IT & HSA)

CLS10	Hold phase gate review with IT project manager and HSA project manager to validate deliverables have been met and officially closeout the phase	Northwoods
CLS11	Prepare and distribute Project Closure Report	Northwoods
CLS12	Review and signoff on Project Closure Report to officially closeout project	HSA (Project Sponsor)
CLS13	Distribute, collect, and record post-project surveys	Northwoods
CLS14	Prepare Post Implementation Evaluation Report (PIER) to document project outcomes, capture final project performance metrics, and summarize lessons learned	Northwoods
CLS15	Perform administrative closure: final invoicing; collection and archival of project records; release of project resources (staff, facilities, automated systems, etc.)	Northwoods

## Activities Not Included in Project Scope

The following activities are not included in the scope of this project. It is the responsibility of County of San Mateo HSA to plan for and purchase these items if applicable.

Description
Back file scanning of closed case files
Re-training of employees and training of new employees who did not attend initial training sessions
Any modifications to the application software; suggestions for changes/enhancements may be considered for future software releases but implementation will not be contingent upon these changes
Printed training and/or reference manuals other than quick reference guides
Disposal of packaging material
Installation of electrical outlets
Consumable supplies for printers and scanners
Any activities not explicitly included as related activities above

## Location and Hours of Work

The work activities by Northwoods staff will be performed at each implementation site and remotely. As a result, Project Team members will require facility access and the use of various offices throughout the duration of the project. The office space must be able to accommodate up to five Project Team members, have the ability to be secured, and include at least one active network jack (Ethernet connection). A local phone system is also recommended. Facility access will normally be restricted to normal working hours; however, on occasion, open/escorted facility access may be required after hours when work activities cannot be accomplished during normal working hours.

The exchange of information and transfer of knowledge when working remotely will occur through alternate methods of communication including but not limited to email, teleconferencing, remote network access (VPN or Hamachi). A detailed work plan produced by the Northwoods Project Manager and approved by the IT project manager and HSA project manager will identify anticipated start and finish dates for all related project activities.

## **Special Requirements**

### **Technical Environment**

In order to minimize deployment barriers and reduce costs, Northwoods engineers require local and remote (VPN or Hamachi) network access across network system servers, client computers, and image file shares, as well as Local Administrator authority on each designated client or server for the duration of the project. A network account must be created for Vendor engineers, to be used for configuration and review of Compass and application software installed on client and server computers.

During the project, it is the responsibility of the IT to acquire and maintain the proper licenses for prerequisite software required to support the Document Management Solution, such as operating systems, Microsoft SQL Server and required CALs. Northwoods engineers will recommend a backup and disaster recovery procedure and provide recommendations on network/infrastructure changes needed to support the Document Management Solution as described in the Work Requirements section. IT is responsible for performing daily backups of all related systems, database, and data files and maintaining current backed-up copies of other pertinent systems and data files.

The Compass Software suite is developed using Microsoft tools and technologies. Compass client server applications run in the PC's local memory and access databases and information on a central database server. Compass Software requires Windows XP on the local PCs.

### **Network Requirements**

Proper network infrastructure plays possibly the largest role in the users' experience with the proposed solution. There are a variety of technologies to allow communication between computers spread across a county. For the purposes of desktop retrieval, a 100 Mb connection is recommended. Remote users and satellite offices may experience reduced productivity and satisfaction with lesser connectivity.

### **Training Facilities Requirement**

HSA provides the appropriate training facilities for onsite training. The training room(s) should be available to trainers for set up one day in advance of any scheduled training.

Room security is the responsibility of HSA. In addition, the training room(s) should be equipped with a connection to the application server as well as electrical power.

## Roles and Responsibilities

### Executive Review Committee

The purpose of the Executive Review Committee is to sponsor the Document Management implementation project and audit progress toward achieving the project's objectives. The following people compose the Executive Review Committee:

Project Role	Responsibility
Project Sponsor	Provides executive sponsorship for the project and authorizes release of payment according to contract terms
IT Advisory Chair	Responsible for information technology decisions and/or changes
HSA Advisory Chair	Responsible for DHHR/BCSE business process decisions and/or changes

### Project Team

The Project Team ensures that implementation tasks are completed as planned. The following people compose the Project Team:

Project Role	Responsibility
<b>IT</b>	
System Administrator	Provides remote server access to Northwoods Systems Engineers; deploys system hardware; ensures completion of daily backup operations; provides ongoing system administration
Project Manager	Approves project deliverables; coordinates County of San Mateo IT project activities;
<b>HSA</b>	
Project Manager	Coordinates County of San Mateo HSA project activities; verifies quality and timeliness of project deliverables
Trainers	Observe Northwoods' Trainer application training during pilot operations and Full Production implementation; provide post-project/ongoing application training
Application Administrator	Provides ongoing administration of software applications
Subject Matter Experts (SME's)	Participate in business requirements interviews to determine configuration needs; recommend policy decisions to IT project manager and HSA project manager

Project Role	Responsibility
Pilot Team	Validates agency business requirements are achieved during limited production pilot operations; provide in-unit rollout support during Full Production implementation
<b>Northwoods</b>	
Project Manager	Manages and ensures project deliverables within constraints of scope, schedule, budget and quality
Business Analyst	Facilitates business requirements interviews with subject matter experts; delivers functional specifications to Systems Engineer
Systems Engineer	Provides consultation and documentation for system hardware installation; configures application software to functional specifications; delivers System Administration training
Trainer	Customizes training material and delivers end user training
Support Specialist	Provides in-unit rollout support for end users

## Acceptance Criteria

Various methods are used to ensure the Document Management System meets or exceeds standards for timeliness and quality.

## Deliverable Review Process

The following review process describes how deliverables are reviewed and approved. Reviews are used to ensure the quality of deliverables and minimize the potential negative impact on downstream activities.

The Northwoods Project Manager submits identified deliverables to the IT project manager and HSA project manager for review on a weekly basis. Within ten business days, the IT project manager and HSA project manager reviews the deliverables for the conformance to specifications. If the deliverables meet the outlined specifications, the IT project manager and HSA project manager provides written notice of acceptance to Northwoods by completing a Project Acceptance/Rejection form within the five day review period.

Should the deliverables fail to conform to the specifications, the IT project manager and HSA project manager documents the deficiencies in an agreed-upon format and provides the Northwoods Project Manager with the documentation. The Northwoods Project Manager then facilitates corrective action and returns the corrected deliverables within ten business days or otherwise mutually agreed-upon timeframe. The Northwoods Project Manager and IT project manager and HSA project manager may mutually agree to a time extension if additional time is necessary for corrective action.

The IT project manager and HSA project manager reviews and approves or rejects corrected deliverables received from the Northwoods Project Manager within five business days, unless the IT project manager and HSA project manager notifies the Northwoods Project Manager within the five days that additional time is required. Both

Northwoods Project Manager and IT project manager and HSA project manager must mutually agree to the time of the extension.

Any deliverables not reviewed and returned to the Northwoods Project Manager for correction within the agreed upon period will be considered accepted by the IT project manager and HSA project manager. This process is repeated until the County and Northwoods in an Agreement.

## Acceptance of Deliverables

The following acceptance methods are used to ensure that each project deliverable meets or exceeds quality standards.

Deliverable	Method for Acceptance	Approving Authority
<b>Startup Phase</b>		
Sales Handoff Meeting	Meeting between Northwoods sales representative and project representative(s) Meeting face sheet	Northwood project manager
Information Technology meeting	Meeting agenda Meeting with key IT staff Meeting minutes	IT project manager and HSA project manager
Sponsor Planning Meeting	Meeting agenda Meeting between HSA key staff and Northwoods key staff Meeting minutes	IT project manager and HSA project manager
Approved Project Management Plan	Document review between Northwoods project manager and IT project manager and HSA project manager	IT project manager and HSA project manager (signoff required)
Approved Project Schedule	Document review between Northwoods project manager and IT project manager and HSA project manager	IT project manager and HSA project manager (signoff required)
Approved Staffing Plan	Document review between Northwoods project manager and IT project manager and HSA project manager	IT project manager and HSA project manager
Approved Statement of Work	Document review between Northwoods project manager and IT project manager and HSA project manager	IT project manager and HSA project manager (signoff required)
Software and Hardware Review	Document review between Northwoods project manager and IT project manager and HSA project manager	IT project manager and HSA project manager

Deliverable	Method for Acceptance	Approving Authority
Project Kickoff	Meeting (project overview and demonstration) with stakeholders	IT project manager and HSA project manager
Approved Training and Implementation Plan	Document review between Northwoods project manager and IT project manager and HSA project manager	IT project manager and HSA project manager
Project Monitoring and Controlling	Project schedule updates Project management plan updates Staffing plan updates Risk and issues log updates	IT project manager and HSA project manager
Status Review Meetings	Meeting agenda Meeting between IT key staff, HSA key staff and Northwoods key staff Meeting minutes	IT project manager and HSA project manager
Written Status Reports	Document review between Northwoods project manager and IT project manager and HSA project manager	IT project manager and HSA project manager
Phase Gate Closure	Document review between Northwoods project manager and IT project manager and HSA project manager	IT project manager and HSA project manager
<b>Infrastructure Phase</b>		
Servers and Related Hardware Installation and Configuration	Engineering checklists Hardware inspection System testing by HSA/IT staff	IT project manager and HSA project manager
Business Requirements Analysis	Business requirements interviews between HSA staff and Northwoods business Document review between Northwoods project manager and IT project manager and HSA project manager	IT project manager and HSA project manager
System Design Document	Site survey results Document review between Northwoods project manager and IT project manager and HSA project manager	IT project manager and HSA project manager
Functional Specification	Document review between Northwoods project manager and IT project manager and HSA project manager	IT project manager and HSA project manager



Deliverable	Method for Acceptance	Approving Authority
Initial Taxonomy	Taxonomy meeting between HSA staff and Northwoods business analysis team Document review between Northwoods project manager and IT project manager and HSA project manager	IT project manager and HSA project manager
Preliminary Software Configuration	Requirements traceability matrix System testing by HSA/IT staff Pilot operations Prototype review/authorization to proceed	IT project manager and HSA project manager
Forms Conversion	Forms Center Manager training In-unit support of forms designers by Northwoods staff Forms conversion review between Northwoods project manager and IT project manager and HSA project manager	IT project manager and HSA project manager
Project Monitoring and Controlling	Project schedule updates Project management plan updates Staffing plan updates Risk and issues log updates	IT project manager and HSA project manager
Status Review Meetings	Meeting agenda Meeting between IT key staff, HSA key staff and Northwoods key staff Meeting minutes	IT project manager and HSA project manager
Written Status Reports	Document review between Northwoods project manager and IT project manager and HSA project manager	IT project manager and HSA project manager
Phase Gate Review	Document review between Northwoods project manager and IT project manager and HSA project manager	IT project manager and HSA project manager
<b>Validation Phase</b>		
Limited Production Client Hardware Deployment	Hardware deployment consultation and documentation by Northwoods systems engineer Hardware deployment by San Mateo IT staff Hardware requirements review between Northwoods project manager and IT project manager and HSA project manager	IT project manager and HSA project manager

Deliverable	Method for Acceptance	Approving Authority
Limited Production Client-Side Software Deployment	Software deployment consultation and documentation by Northwoods systems engineer Software deployment by San Mateo IT staff Software requirements review between Northwoods project manager and IT project manager and HSA project manager	IT project manager and HSA project manager
Initial System Testing	System testing by project team Review of test results between Northwoods project manager and IT project manager and HSA project manager	IT project manager and HSA project manager
Pilot Operations	Delivered pilot team training Successful performance of pilot In-unit support of pilot team by Northwoods staff	IT project manager and HSA project manager
Requirements Validation	Review of requirements traceability matrix between Northwoods project manager and IT project manager and HSA project manager	IT project manager and HSA project manager
Finalized Taxonomy	Taxonomy review between Northwoods project manager and IT project manager and HSA project manager	IT project manager and HSA project manager
Finalized Training Materials	Review of training materials between Northwoods project manager and IT project manager and HSA project manager	IT project manager and HSA project manager
Finalized System Configuration	Prototype review Authorization to proceed	IT project manager and HSA project manager
Project Monitoring and Controlling	Project schedule updates Project management plan updates Staffing plan updates Risk and issues log updates	IT project manager and HSA project manager
Status Review Meetings	Meeting agenda Meeting between IT key staff, HSA key staff and Northwoods key staff Meeting minutes	IT project manager and HSA project manager
Written Status Reports	Document review between Northwoods project manager and IT project manager and HSA project manager	IT project manager and HSA project manager

Deliverable	Method for Acceptance	Approving Authority
Phase Gate Review	Document review between Northwoods project manager and IT project manager and HSA project manager	IT project manager and HSA project manager
<b>Implementation Phase</b>		
Full Production Client Hardware Deployment	Hardware deployment consultation and documentation by Northwoods systems engineer Hardware deployment by San Mateo IT staff Hardware requirements review between Northwoods project manager and IT project manager and HSA project manager	IT project manager and HSA project manager
Full Production Client-Side Software Deployment	Software deployment consultation and documentation by Northwoods systems engineer Software deployment by San Mateo IT staff Software requirements review between Northwoods project manager and IT project manager and HSA project manager	IT project manager and HSA project manager
Delivered End User Training	Review of final training schedule between Northwoods project manager and IT project manager and HSA project manager End training sessions for all affected end users	IT project manager and HSA project manager
Full Production In-Unit Rollout Support	In-unit rollout support by HSA pilot team and Northwoods staff	IT project manager and HSA project manager
Project Monitoring and Controlling	Project schedule updates Project management plan updates Staffing plan updates Risk and issues log updates	IT project manager and HSA project manager
Status Review Meetings	Meeting agenda Meeting between IT key staff, HSA key staff and Northwoods key staff Meeting minutes	IT project manager and HSA project manager
Written Status Reports	Document review between Northwoods project manager and IT project manager and HSA project manager	IT project manager and HSA project manager

Deliverable	Method for Acceptance	Approving Authority
Phase Gate Review	Document review between Northwoods project manager and IT project manager and HSA project manager	IT project manager and HSA project manager
<b>Closeout Phase</b>		
Phase Gate Review	Document review between Northwoods project manager and IT project manager and HSA project manager	IT project manager and HSA project manager
Final Risks and Issues Log	Document review between Northwoods project manager and IT project manager and HSA project manager	IT project manager and HSA project manager
Project Closure Report	Document review between Northwoods project manager, IT project manager and HSA project manager and project sponsor	Project sponsor (signoff required)
Project Monitoring and Controlling	Project schedule updates Project management plan updates Staffing plan updates Risk and issues log updates	IT project manager and HSA project manager
Status Review Meetings	Meeting agenda Meeting between IT key staff, HSA key staff and Northwoods key staff Meeting minutes	IT project manager and HSA project manager
Written Status Reports	Document review between Northwoods project manager and IT project manager and HSA project manager	IT project manager and HSA project manager
Maintenance and Support Handoff	Document review between Northwoods project manager and IT project manager and HSA project manager	IT project manager and HSA project manager
Project Post Implementation Evaluation Report	Document review with Northwoods project team	Northwoods project manager
Administrative Closure	Final invoicing Collection and archival of project records Release of project resources (staff, facilities, automated systems, etc.)	Northwoods project Manager

## Timeliness of Deliverables

A mutually agreed upon work plan, establishes the baseline schedule and how related activities are tracked, accounted for and maintained throughout the project lifecycle. The schedule is routinely evaluated by the Northwoods Project Manager for comparison of

baseline data against actual performance. Risks and deviations to the schedule are discussed during Project Team status meetings. As a result, the Northwoods Project Manager identifies schedule variance and potential problems, makes adjustments to the schedule and/or reassigns resources, and reports progress to appropriate stakeholders and team members.

## **NORTHWOODS MAINTENANCE AND SUPPORT**

### **1.1 Compass/OnBase Software Maintenance Agreement (Phone/Remote)**

The Compass and OnBase Software Maintenance Agreements provide for Help Desk support, Remote Control support and software version upgrades. Phone/Remote Maintenance and Support Services generally will be available during the hours of 8:00 a.m. to 8:00 p.m. Eastern Time, Monday through Friday, excluding holidays, in the normal course of its business, by on-line remote control, telephone or both.

#### **1.1.1 Northwoods Support Center**

The Northwoods Support Center is our customer's first line of support for all system related support issues. All calls for support are made to the Northwoods corporate offices where they will be routed to the appropriate technical support engineer. The technical support engineer will make every attempt to assist the customer in resolving the support issue.

#### **1.1.2 Remote Control Support**

If necessary, our support staff asks permission to enter the customer's system through a remote control connection, including connectivity to the desktops via an industry standard tool. Once a connection is made, the technical support engineer will take control of a customer's system and address the support issue remotely.

The Remote Control Support services assume that we have been granted permission to enter the customers system and that we have the appropriate physical connection established.

#### **1.1.3 Compass Software Version Upgrades**

Each of Northwoods Compass Software products is constantly enhanced via a regimented Product Change Request (PCR) process. PCR's are submitted by both our user base and support personnel and are extensively reviewed by our Product Management team for consideration. Each PCR is assigned a priority and processed through our Development and Quality Assurance teams. As new product versions pass our QA testing, they are released to a diverse community of beta users. These users exercise the software for a period of time, reporting any anomalies directly to their assigned project manager. After completion of the beta testing period, the product release is made available to our Integration Services Team for deployment to our population of users currently covered under maintenance.

All major Compass Software product releases will be provided to the customer by Northwoods as they are released. Minor upgrades and enhancements will be provided to the customer by Northwoods when it is determined that the upgrade or enhancement will directly impact the performance of the customer's system as determined by Northwoods at its sole discretion.

Custom enhancements to the software requested by a customer that are not considered to be part of the PCR process are available on a time and materials or fixed cost basis. Northwoods will provide a cost estimate upon request.

#### **1.1.4 OnBase Software Version Upgrades**

All major OnBase Software upgrades and enhancements will be provided to the customer by Northwoods as they are released. Minor upgrades and enhancements will be provided to the customer by Northwoods when it is determined that the upgrade or enhancement will directly impact the performance of the customer's system as determined by Northwoods at its sole discretion.

## **1.2 Northwoods Support Center Procedures**

The Northwoods Support Center (NSC) is a section of Northwoods that is located in our auxiliary office on Wall St. in Dublin, OH. NSC hours of operation are from 8:00 am to 8:00 pm Eastern Time, Monday through Friday. The staff at the center can be reached by calling 614-545-0999, by email at help@teamnorthwoods.com or via the web at www.teamnorthwoods.com

The NSC was established to provide a one stop support center to our clients and Northwoods team members for issues with all installed software applications covered under a maintenance agreement. All issues are addressed based on their severity and priority.

### **Mission Statement**

*"The Northwoods Support Center mission is to provide our customers with a centralized point of contact for responsive support. We are committed to quality help through teamwork and a proactive approach to identifying and solving problems. We will strive to exceed our customers' expectations in our ongoing pursuit of service excellence."*

#### **1.2.1 Support Tickets**

When a client contacts the NSC by email, telephone or via the web, the support center personnel will create a support ticket. The NSC utilizes a system to monitor support tickets and track resolutions. These tickets can provide a historical reference of client issues.

#### **1.2.2 Monitoring Support Tickets**

The NSC personnel are responsible for monitoring all active NSC support tickets. The NSC will provide a status update to the reporting party by email. Support tickets that have not been resolved within the parameters set by the escalation procedures will be sent to the System Support Manager (SSM) or to the Director of Operations, if the SSM is unavailable.

### 1.2.3 Prioritizing Support Tickets

Upon the creation of the support ticket, the NSC determines the priority of the issue. Priorities are assigned based on a standard escalation procedure.

#### **High Priority**

High priority issue, all necessary resources are called in to work on issue until resolved. Example: *the entire agency is unable to function.*

All high priority issues are escalated immediately to the System Support Manager (SSM) or if unavailable, to the Director of Operations, if the SSM cannot be reached. Contact is made with the Systems Support Engineer to arrange for the dispatch of an engineer to the site if needed.

#### **Normal Priority**

Every effort is made to resolve these issues within the same day the issue is reported. Example: *a user cannot function.*

The NSC personnel monitor all normal priority issues and escalate to the Systems Support Manager if the issue has not been acknowledged by the assigned Northwoods team member.

#### **Low Priority**

Every effort is made to resolve these issues within 5 business days. Example: *user can still function, but with workarounds.*

The NSC personnel will monitor all low priority issues and follow the procedure for notifying the owner regarding updates.

## 1.3 Northwoods OnSite Services Annual Maintenance

An OnSite Services Annual Maintenance Agreement provides an additional level of support to our customers when a support issue cannot be resolved by phone or remote control or when a customer simply prefers the convenience of being able to turn over complete issue resolution to our staff. OnSite Maintenance and Support Services generally will be available during the hours of 8:00 a.m. to 5:00 p.m. in the time zone where the system is installed, Monday through Friday, excluding Northwoods standard holidays.

On-Site maintenance requires a signed OnSite Maintenance Services Agreement. This agreement provides for on-site support at a fixed annual fee to the customer billed on the day of signing. This agreement takes the guesswork out of the hands of the customer and places all service responsibility on Northwoods. Response to calls for on-site support under this agreement assumes that all other attempts to resolve the support issue have already been made including: Help Desk support and Remote Control support. On-site maintenance support does not include retraining or other services not directly related to resolving an identified support issue.

The OnSite Maintenance Agreement requires that applicable Software Maintenance Agreements be in place during the time period that on-site services are requested.



Additional benefits of OnSite Maintenance include the following:

- Northwoods will provide the professional services to install upgrades or enhancements to your Compass Software™ once a year as needed.
- Northwoods will provide training of your Technical Point of Contact (“TPOC”) on any upgraded or enhanced software while our staff is onsite in the agency.
- Northwoods conducts remote server checks at least semi-monthly to provide preventative maintenance and early warning of developing issues.
- Up to five of your employees can attend each semi-annual Compass Academy Training Conference and Idea Exchange, free of charge.
- At least once a year, a representative from the Northwoods Maintenance Department will visit you to assess needs, answer questions, and make sure you are satisfied with Northwoods service and support.
- Our technicians will serve as a first point of contact on server and RightFax hardware. If we can correct the issue, we will. And if not, we may be able to help resolve the situation through consultation with the hardware vendor.

## **1.4 Modifications Required by Legislative Changes and Other Forced Changes**

Northwoods understands that many of the procedures that are followed by ACDJFS are determined by state and federal laws, rules and regulations and that changes made at the state and federal levels may have an impact on the proposed system. Both the Compass and OnBase software modules are designed in a way to allow for this type of flexibility and many changes can be incorporated by making minor modifications. A recent example was when Child Support Enforcement agencies were required by the IRS to ensure that any IRS information in a person’s file must be kept confidential and locked. Northwoods was able to respond quickly with a solution and provided that solution to its current maintenance customers as part of their maintenance service.

The difficulty with these changes is that they are of an unknown nature. It has been Northwoods philosophy to include changes that maintain the current level of functionality of the software under maintenance. However, changes that would require additional functionality would not be included under maintenance. These changes would be reviewed and included under maintenance solely at our discretion.

Modifications that require additional functionality or are forced changes by non-legislative means, like network or hardware upgrades are not covered under maintenance and would be billed on a time-and-materials basis at the prevailing rate.

County of San Mateo
Contractor's Declaration Form

I. CONTRACTOR INFORMATION

Table with contractor information: Contractor Name (Northwoods Consulting Partners, Inc.), Contact Person (Chris McConnel), Address (6315 Emerald Parkway, Dublin, Ohio 43016), Phone (614-781-7800), Fax (614-781-7801).

II. EQUAL BENEFITS (check one or more boxes)

Contractors with contracts in excess of \$5,000 must treat spouses and domestic partners equally as to employee benefits.

- Contractor complies with the County's Equal Benefits Ordinance by:
- offering equal benefits to employees with spouses and employees with domestic partners.
- offering a cash equivalent payment to eligible employees in lieu of equal benefits.
Contractor does not comply with the County's Equal Benefits Ordinance.
Contractor is exempt from this requirement because:
- Contractor has no employees, does not provide benefits to employees' spouses, or the contract is for \$5,000 or less.
- Contractor is a party to a collective bargaining agreement that began on \_\_\_\_ (date) and expires on \_\_\_\_ (date), and intends to offer equal benefits when said agreement expires.

III. NON-DISCRIMINATION (check appropriate box)

- Finding(s) of discrimination have been issued against Contractor within the past year by the Equal Employment Opportunity Commission, Fair Employment and Housing Commission, or other investigative entity. Please see attached sheet of paper explaining the outcome(s) or remedy for the discrimination.
No finding of discrimination has been issued in the past year against the Contractor by the Equal Employment Opportunity Commission, Fair Employment and Housing Commission, or any other entity.

IV. EMPLOYEE JURY SERVICE (check one or more boxes)

Contractors with original or amended contracts in excess of \$100,000 must have and adhere to a written policy that provides its employees living in San Mateo County up to five days regular pay for actual jury service in the County.

- Contractor complies with the County's Employee Jury Service Ordinance.
Contractor does not comply with the County's Employee Jury Service Ordinance.
Contractor is exempt from this requirement because:
- the contract is for \$100,000 or less.
- Contractor is a party to a collective bargaining agreement that began on \_\_\_\_ (date) and expires on \_\_\_\_ (date), and intends to comply when the collective bargaining agreement expires.

I declare under penalty of perjury under the laws of the State of California that the foregoing is true and correct, and that I am authorized to bind this entity contractually.

Signature

Name

Date

Title