Bid Waiver Form

Revised 02/2023

Short Description of Goods/Services	CYF/PEI Case Document Management Software	Total Cost	$1,334,820

Vendor Name	Northwoods Consulting Partners, Inc.	MUNIS #	23789	Req #	

Purchasing Officer	Megan Rogan	Date	09/07/2023
Department	Human Services - CYF & PEI	Email	clemens.kari@countyofdane.com
Name	Kari Clemens	Phone	608-242-6298

A VENDOR QUOTE MUST BE ATTACHED TO THE WAIVER FOR APPROVAL

Provide a detailed description of the goods/services intended to be purchased:

The Dane County Department of Human Services desires to purchase implementation services and up to a five year subscription of 275 seats of Northwoods Traverse Software.

This software will be used by Child Protective Services, Out of Home Care and Youth Justice staff to generate, complete, store and organize case documents and forms. This will allow social workers to efficiently manage documents and facilitate needed access to case documents. The product has the capability to sync cases and forms to devices which will allow our mobile staff to quickly access their case documents and complete forms from their varied working locations.

Send to a Purchasing Officer Once Completed

Bid Waiver Form

Revised 02/2023

Procurement Exception List
☐ **Emergency Procurement**
☐ **Unique and specific technical qualifications are required**
☐ **A special adaptation for a special purpose is required**
☐ **A unique or opportune buying condition exists**
☑ **Only one vendor possesses the unique and singularly available ability to meet the Department's requirements**

Provide a detailed explanation as to why the competitive bidding (RFB/RFP) process cannot be used. Also provide a detailed justification in relation to the Procurement Exception(s) chosen:

Staff in CPS have utilized Northwoods' Compass solution for case document management since 2013. Northwoods announced they are sunsetting their Compass product, and has introduced a new product called Traverse as an upgrade offering. Capital funding was appropriated to replace and upgrade the Northwoods Software.

The department did explore other software products by working with a software reseller with whom there is a cooperative agreement, but found Northwoods to be uniquely positioned for continuity and that the product continues to meet the needs of the department.

Using Traverse from Northwoods will result in a less disruptive transition as data and files will migrate more cleanly from Compass to Traverse than they would to another vendor's product. The upgraded interface will also be familiar to current users and less disruptive to their current workflows than a transition to another vendor's product would be. Northwoods also has experience working with a daily upload of a subset of our case data and can transition that to their new system, whereas we expect that developing a new interface with a different vendor to upload this data would be expensive and time consuming.

This change also reflects an expansion of the use of the product from CPS to additionally include our Youth Justice and Out of Home Care staff. Expanding the usage to these additional areas at this time will allow us to utilize the implementation services to configure the system for the needs of all three areas, and for youth justice and for the case file documents to be consistently organized across program areas.

Rather than amend the current contract with Northwoods, we are bringing this back as a bid waiver request for purchase authority for upgrade implementation services and for the purchase of software licenses for an initial three year software term with two optional annual extensions. Therefore, it reflects a three year minimum commitment and five year maximum commitment to maximize department flexibility.

Bid Waiver Approval (For Purchasing Use Only)	
☐ **Under $43,000 (Controller)**	
☑ **$43,000+ (Personnel & Finance Committee)**	**Date Approved:**

Send to a Purchasing Officer Once Completed

Quote

Prepared For:	Dane County DHS (WI)
Project Title:	Dane County DHS (WI) - Traverse Conversion
Prepared By:	Brad Rosenthal
Effective From:	09/08/2023
Expiration Date:	12/31/2023

Project Scope Summary

The following firm fixed price quote details the Software as-a-Service (SaaS) and professional service costs necessary to implement Traverse on behalf of Dane County DHS' Child Protective Services, Youth Justice, and Out of Home Care program areas.

Subscription Software	Total Cost
Traverse Subscription up to 250 Users (EDMS, Forms, ETL Integration, Case Discovery, Connect, Capture, Single Sign-on)	$371,800.00
Discount	$148,720.00
Subtotal	$223,080.00

Firm Fixed Professional Services	Total Cost
Implementation Professional Services	$309,000.00
Discount	$123,600.00
Upfront Content Migration (Up to 1,023,000 items)	$30,690.00
Discount	$30,690.00
Subtotal	$185,400.00

Pricing Summary	Total Cost
Subscription Software – Year 1	$223,080.00
Professional Services – Year 1	$185,400.00
Subscription Software – Year 2	$223,080.00
Subscription Software – Year 3	$223,080.00
Subscription Software – Option Year 4	$234,234.00
Subscription Software – Option Year 5	$245,946.00
5 Year Grand Total	$1,334,820.00

![Northwoods logo]

Statement of Work

Traverse Implementation Project

Presented to

Dane County, Wisconsin
Department of Human Services

Document Version

Version 3.0

Date Submitted

April 20, 2023

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Table of Contents

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Purpose

The purpose of this Statement of Work (SOW) is to define the scope of work and deliverable work products necessary for the implementation of a Traverse solution within Dane County, Wisconsin Department of Human Services (Dane DHS or customer). This SOW specifies the work to be done by the Northwoods Consulting Partners, Inc. (Northwoods) project team in providing the services associated with the Dane DHS Traverse Implementation Project (the Project). Any requests for services and/or system functionality that exceed the scope specified in this SOW are subject to change management.[1]

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[1] See "Appendix A: Change Management" on page A-1.

Project Scope

The project objective is to deploy Traverse for use by up to 225 Dane DHS end users within the following business units:

- Child Protective Services
- Out of Home Care
- Youth Justice

Deliverables

The following project deliverables are subsidiary elements of the final project product, each with its own separate but interdependent deliverable scope:

- Baseline Project Schedule
- Client Software Deployment
- SaaS Environment Setup
- Baseline ETL Configuration
- Electronic Forms Design
- ETL Review
- Implementation Support

- Training Schedule
- Business Process Review
- Extract, Transform, Load (ETL) Design Document
- Taxonomy Development
- ETL Testing
- Training

Deliverable review procedures are described in "Appendix B: Deliverable Review Procedures" on page B-1 while deliverable acceptance criteria for this project's deliverables are provided in "Appendix C: Deliverable Acceptance Criteria" on page C-1.

Northwoods Project Team Roles

The Northwoods project management team is responsible for ensuring the satisfactory and timely completion of each project task by planning, organizing, motivating, and controlling human and equipment/material resources and applying project management methodologies in alignment with Project Management Institute (PMI) standards.

The Northwoods project team will include the following roles:

Role	Responsibilities
Project Manager	Manages the project implementation approach, staffing, responsibilities, and delivery of services. Serves as one of the primary points of contact for Dane DHS. Oversees and supports solution rollout. Responsible for day-to-day project quality assurance.
Solution Analyst	Leads business process review sessions, consulting with Dane DHS subject matter experts (SMEs) on identified areas where will intersect with day-to-day business processes. Provides consultation around what agency forms should be included in Traverse. Ensures the solution appropriately meets Dane DHS's needs. Ensures the readiness of Dane DHS as it pertains to the delivery of training. Provides direct training support to ensure Traverse is appropriately adopted by Dane DHS workers.
Solution Architect	Participates in technical evaluation sessions. Designs ETL agents according to the ETL Design Document deliverable. Ensures Traverse successfully integrates with applicable Dane DHS systems. Responsible for incorporating Dane DHS's taxonomy into Traverse and building Dane DHS-specific service deliveries within the application. Provides consultation on how Dane DHS should deploy Traverse. Responsible for testing the designed ETL solution(s).
Forms Design Team	Responsible for overseeing the collection and development of up to a total of 325 electronic forms.

Dane DHS Key Project Team Roles

The Dane DHS project team will include at least the following key roles:

Role	Responsibility
Project Manager	Responsible for scheduling and overseeing tasks and resources assigned to the project. Ensures that project management standards are met. Assists the Northwoods Project Manager with monitoring the overall quality of the project and furthering the ongoing integration of the Northwoods solution. Ensures that solution adoption continues to increase after the project is completed.
Head Coach	Responsible for monitoring the overall quality of the project and furthering the ongoing integration of the Northwoods solution into day-to-day business processes. Ensures that solution adoption continues to increase after the project is completed.

Role	Responsibility
Assistant Coach	Responsible for the day-to-day training and support needs of the Northwoods solution. Ensures the delivery of training occurs during the onboarding process for new hire staff.
IT Lead	Responsible for provisioning necessary hardware and facilitating access to systems that are required to be integrated with Traverse. Responsible for serving as the technical subject matter expert.
Subject Matter Experts	Responsible for participating in business process reviews with Northwoods staff, as well as other identified activities.
System Administrators	Responsible for system administration activities, including maintaining user accounts within Traverse.

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Work Activities

The work activities in this section define the tasks necessary for the successful design and deployment of the Traverse solution.

Project Planning and Management

The Northwoods Project Manager is responsible for ensuring the satisfactory and timely completion of each project task by planning, organizing, motivating, and controlling human and equipment/material resources and applying project management methodologies. The internal methodology used by Northwoods Project Managers is as follows:

- **Calendar of Events and Deadlines**
  - o Establish, review, and communicate project events and deadlines throughout the duration of the project

- **Change Management**
  - o Track and monitor change requests for anything affecting scope, time, or cost for the project
  - o Identify and process in-scope and out-of-scope requests

- **Communications Management**
  - o Provide project status updates and communication
  - o Use appropriate communication channels to ensure visibility and cooperation by communicating status and relevant news about the project to key stakeholders
  - o Provide regular status reports to the Dane DHS Project Manager and key customer stakeholders

- **Deliverable Management**
  - o Facilitate the configuration and implementation of project deliverables and deliverable review procedures

- **Issue and Risk Management**
  - o Assign issues to team members for resolution and/or follow up
  - o Assign a rank to risks identifying the likelihood and severity of a risk should it happen. Identify methods to mitigate or eliminate the risk
  - o Communicate potential risks and issues that may affect the schedule, budget, and/or project deliverables to key stakeholders
  - o Identify schedule variance and potential problems

- **Leadership and Decision Support and Prioritization**
  - o Identify decision owners and proactively support the project decision-making process

     o   Determine the relative priority of decisions

- **Work Breakdowns, Schedules, Milestones**
    - Assign work activities and target completion dates required for the project team
    - Review and approve task updates for the project team
    - Adjust the Baseline Project Schedule and/or reassign resources as necessary

For additional details around the Northwoods Project Manager's role, as well as the roles that make up the Northwoods project team, please refer to "Northwoods Project Team Roles" on page 2.

Coach Development

Northwoods will provide Dane DHS with coach development before, during, and after solution implementation, which will assist with the implementation of Traverse and create the foundation for long-term solution success.

Using coaching principles championed by the University of California – Davis and the University of Denver's Butler Institute for Families, we spend significant time assisting an agency in creating and developing a coaching team. We apply our expertise and knowledge of agency business units by working with an agency's stakeholders to evaluate, identify, and develop the best possible staff members to:

- Assess the current state of, and future changes to, agency business processes
- Establish communication protocols that are in line with the modernization of existing business processes
- Train and support agency staff
- Advocate for and lead necessary business process changes that promote overarching and sustainable agency success

In support of this project, we will begin by providing Dane DHS with our recommended skillsets and criteria for coaches. We will then outline what Dane DHS coaches will do, how each role will be involved in the project, and why the coaching team is critical to the solution's success. All of this leads to Dane DHS's coaches becoming in-house experts in supporting and sustaining Traverse in all aspects of their organization.

The primary roles in a coaching team include a head coach and assistant coaches, which are supported by the Northwoods project team, the agency's project manager, and the agency's IT staff.

In addition to the high-level project team roles presented in "Dane DHS Key Project Team Roles" on page 3, the characteristics and responsibilities of a head coach and assistant coaches are summarized in the following table:

Coaching Role	Characteristics and Responsibilities
Head Coach	The head coach serves as the project lead, establishes readiness, and ensures solution success before implementation, during training, and after the project is closed. The Northwoods Project Team works closely with and supports the head coach, establishing the head coach as their agency's champion of the Northwoods solution—from the day-to-day utilization of the solution to being a visionary for continued process improvement. The head coach should have a complete understanding of the project from business process review to baseline solution configuration to its use in the field, as well as agency policies and procedures. Serving as the central point of contact between an agency and Northwoods—as well as internally—the head coach ensures accurate and timely communication, fosters relationships with an agency's staff, and implements new business processes developed during the project's implementation.
Assistant Coaches	Assistant coaches provide direct support to a small team of agency staff, offering guidance and encouraging them to adopt new techniques. These coaches have in-depth knowledge of their agency's business processes, as well as caseworker responsibilities. Assistant coaches focus on developing staff proficiency as they adopt the Northwoods solution. While a head coach is responsible for overall project success and end-user adoption, assistant coaches work with a smaller subset of staff to provide support, identify areas of strength and weakness, determine if strengths and weaknesses are common across the subset of staff, and provide information to the head coach.

Once a head coach and assistant coaches are identified, Northwoods will provide targeted support to position Dane DHS's coaching team for lasting success. Working together, Northwoods and Dane DHS's coaching team will identify agency strengths and critical business processes that have the greatest potential to be affected by the Northwoods solution. The coaching team will then guide Dane DHS through changes to policies and procedures. Through consultation provided by the Northwoods project team, Dane DHS's coaching team will help the agency and its staff navigate through organizational changes, including the onboarding of new staff, implementing new programs, responding to new state mandates, and incorporating future product enhancements. As such, coaches will remain critical to the flow of communication within Dane DHS, supporting front-line staff who will use the Northwoods solution and ensuring that all staff remain informed about organizational changes as they are implemented.

We understand the importance of an agency's coaching team in the continued success of a Northwoods solution and recognize the need for additional opportunities to support the coaching team's "next steps" once the project is fully implemented. After project implementation, the Northwoods Customer Success Manager will work with Dane DHS to schedule post-project implementation check-ins with the coaching team, providing additional consultation.

Server Environment

Northwoods will install an ETL agent on a Dane DHS server (physical or virtual) that will be used to enable the exchange of data between eWiSACWIS and Traverse, as detailed in "ETL Configuration" on page 11.

The ETL agent is required to communicate with both the data source(s) and target data. It is installed on a server at the agency and provides secure data transfer to and from the Traverse solution.

Dane DHS must provide the ETL agent server according to the minimum specifications listed below at Dane DHS's own cost:

- One of the following operating systems:
    - Windows Server 2016 or greater
- Microsoft components:
    - Microsoft .NET Framework 4.7.2 (full version)
    - Microsoft Windows Identity Foundation
- Minimum specs:
    - Quad Core CPU
    - 8 GB of RAM
    - 8 GB of free hard disk space

Dane DHS is responsible for the ongoing operation of this server and ensuring the eWiSACWIS data is available and the ETL agent is able to communicate with the Traverse solution.

Business Process Review

Business Process Review consists of all activities required for Dane DHS SMEs to review existing business processes and how those business processes will change.

During the course of the project, the Northwoods project team meets with the Dane DHS SMEs to review Traverse—specifically functionality related to the Traverse web application, Traverse forms, and the Traverse mobile application—and discuss potential business process changes. Dane DHS SMEs, composed of representatives from different roles within the Child Protective Services, Out of Home Care, and Youth Justice business units, will be asked to review how existing processes will be affected by Traverse, changes that will help workers realize the most benefits from Traverse, and any other decisions that may affect business processes.

Following each business process review meeting, Dane DHS SMEs evaluate any necessary business process changes related to the use of Traverse. The Dane DHS SMEs document the current business process, how the business process will change when using Traverse, and any other considerations that Dane DHS should consider when implementing the business process change.

Taxonomy Development

Northwoods will assist Dane DHS in updating its custom content taxonomy—the organizational structure for electronic content in Traverse.

Specifically, Northwoods will:

1. Review the agency's existing taxonomy to confirm its accuracy and determine how additional program area documents may need to be added.
2. Provide consultation and assistance to Dane DHS as they update and finalize its taxonomy.

Following the completion of the taxonomy's design, Dane DHS will be responsible for adopting a day-forward approach towards its taxonomy. Dane DHS staff will meet periodically to evaluate the taxonomy's use and make any necessary adjustments in structure and/or communication to ensure Dane DHS's needs are met.

Electronic Forms Design

Electronic Forms Design consists of all activities required for the Northwoods forms designers to convert up to a maximum of 325 existing paper-based and electronic forms into a user-friendly format during the course of the project. Please note that after project closure, regardless of the number of forms actually converted, any requests for additional electronic forms conversions that were not identified during the project are considered out of scope and will be subject to additional fees.[2]

Northwoods uses a forms design process that allows forms designers to create electronic forms that an agency uses every day. Northwoods will start the form design process by holding discovery sessions with Dane DHS SMEs to ensure appropriate agency forms are selected.

Following discovery sessions, Northwoods forms designers will create an electronic template for each form provided by Dane DHS SMEs. Northwoods forms designers will then add form fields to the template—including, but not limited to, text fields, checkboxes, drop-down lists, and signature fields—based on Dane DHS's existing paper or electronic forms. Northwoods will also add form fields, based on the design request of Dane DHS, that can be configured as required fields or autofilled with a case, client, and/or service provider's information that originated in eWiSACWIS.

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[2] Following project completion, Northwoods forms designers will provide Dane DHS with up to 65 hours of forms maintenance per year. Forms maintenance involves creating, updating, and retiring electronic forms in Dane DHS's forms library. If Dane DHS elects to add additional forms into Traverse, the county will be able to draw upon its forms maintenance hours when engaging Northwoods. Any additional electronic forms design and/or maintenance beyond the allocated hours will require a separate work order subject to additional fees.

Client Hardware Deployment

Client Hardware Deployment includes the Dane DHS activities required to make its client-side hardware available for agency use. Dane DHS will take inventory of and order client hardware to ensure that it is available for deployment to Traverse end users.

Required client-side hardware includes the following[3]:

- Desktop scanners (one Fujitsu fi-7160 Desktop Scanner is recommended per unit)
- One of the following types of tablets:
    - Apple iPad Wi-Fi and 4G Tablets with iOS 15 or greater
    - Tablets with Windows 10 (version 1803) or greater (Microsoft Surface tablets recommended)
- One of the following types of phones:
    - Apple iPhones with iOS 15 or greater
    - Android devices with Android 11 or greater

Client Software Deployment

Client Software Deployment includes the activities necessary to make client-side software available to Traverse end users. Traverse requires compatible browsers and operating systems as seen in Traverse Technical Requirements.

Northwoods will be available to provide Dane DHS with consultation as they complete the following software deployment activities:

- Deploying scanner drivers (PaperStream IP (TWAIN) 1.30.0.5032 recommended) to worker desktops
- Installing the Dynamsoft scanning utility on worker desktops
- Adding the Traverse browser shortcut to worker desktops
- Adding Traverse to favorites/bookmarks in worker browsers
- Adding the Traverse link to the Dane DHS intranet site
- Adding the Traverse mobile applications to each end user's device via Enterprise Mobility Management (EMM)

Northwoods recognizes that Dane DHS uses an Enterprise Mobility Management (EMM) software (not included with project) for device security, protection, and management. Dane DHS will be responsible for appropriately configuring the EMM prior to Traverse mobile device deployment.

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[3] While Traverse requires the hardware listed in this SOW at the time of writing, the Traverse Technical Requirements document contains up-to-date hardware versions required for Traverse to function correctly.

ETL Configuration

Extract, transform, load (ETL) configuration involves importing data from eWiSACWIS and content from Laserfiche into Traverse. Northwoods will configure the following ETL processes:

- A one-time import of Child Protective Services, Out of Home Care, and Youth Justice content from Laserfiche to Traverse, up to 1,020,000 documents
- A periodic import of Child Protective Services, Out of Home Care, and Youth Justice data from eWiSACWIS to Traverse
- A one-time import of case narratives from Compass Pilot into Traverse

Northwoods will determine ETL requirements—inclusive of a unique case file or case member identifier—during the ancillary system evaluation sessions, documenting the results in the ETL Design Document project deliverable.

Consistent with the approved ETL Design Document, Dane DHS will provide Northwoods with, at a minimum, an eWiSACWIS CSV file (or similar method of transport) consisting of case, client, and service provider demographic data. Northwoods will then complete a preliminary configuration of the ETL agent to ensure it appropriately receives data. Following the preliminary configuration, Northwoods will conduct an ETL review with Dane DHS as described in "" on page 11.

The Northwoods project team will test the ETL process(es) as designed and documented in the ETL Design Document within a dedicated test environment to confirm the system complies with specified requirements. During ETL testing, Northwoods will validate that client, case, and provider information from eWiSACWIS is available within Traverse and mapped to the appropriate fields within the solution.

Please note that the data transfer from eWiSACWIS will be one way (from eWiSACWIS into Traverse). Exporting data from Traverse to eWiSACWIS is considered outside project scope and would be subject to change request(s).

ETL Review

Once ETL testing is completed, Northwoods will conduct an ETL review with Dane DHS. During the ETL review, Northwoods will walk through the data within Traverse, verifying that all case, client, and organization data is mapped to the appropriate fields within Traverse.

Following the completion of the ETL review, Northwoods will be responsible for initiating the approved ETL process(es) as documented in the ETL Design Document project deliverable.

Once the ETL review is successfully completed and approved, the baseline ETL configuration will be placed under configuration management and serve as a reference point for future ETL changes.

Baseline categories include:

- **Preliminary ETL Baseline (changes moderately controlled):** Establishes the benchmark ETL configuration once the ETL Design Document deliverable is approved.
- **Production Baseline (changes strictly controlled or controlled by change order):** Reflects a completed, client-accepted system that is ready for the production release.

Training and Implementation Support

Northwoods will provide the Dane DHS coaching team with training and implementation support during the limited production (LP) phase of the project. Upon completion of the LP training and implementation support, Northwoods will deliver end-user training while Dane DHS coaches will deliver implementation support during the full production (FP) phase of the project. Training and implementation support ensure that an agency's workers know how to use Traverse, allowing the agency to minimize disruption to daily workloads as Traverse goes live.

Training

Training activities associated with this project are described in detail in the following subsections.

Solution Demonstration

The first training step is a solution demonstration that shows workers how they will complete day-to-day responsibilities using Traverse. During the initial solution demonstration, the Northwoods project team provides a high-level demonstration of Traverse to Dane DHS, providing Dane DHS workers with an overview of their soon-to-be-implemented solution. This demonstration serves as a worker's first exposure to the new solution, generating excitement for Traverse while laying the groundwork for a successful project.

Web-Based Training

Following the solution demonstration, Dane DHS workers will view web-based training videos to gain a deeper understanding of the features of Traverse.

Web-based training videos are a proven training delivery method that provides an agency's workers with training on the functionality of their Northwoods solution. Web-based training helps workers understand and familiarize themselves with Traverse and are specifically developed with social services workers in mind to show how they can use the software to help them better perform their daily responsibilities.

Web-based training videos can be accessed within Traverse, and Dane DHS workers can access the most recent versions anytime, anywhere with an internet connection.

Traverse End User Training

Northwoods will conduct Traverse end user training, using newly identified business process decisions made during the business process review sessions to demonstrate day-to-day uses of Traverse. Throughout the limited production phase, Northwoods will continue to work with the Dane DHS coaching team, building the

coaching team's skillset before the coaching team provides support to end users during the full production phase of the project.

Implementation Support

Northwoods will provide the Dane DHS coaching team with implementation support during the limited production (LP) phase of the project to effectively support the project's implementation.

Implementation support is arguably the most important step for the solution to achieve overall success at an agency. Up to this point, coaches and end users have seen and learned what the solution can and will do based on the features of the software. During implementation support, coaches learn how to use the software in their daily activities.

During this step, a Northwoods project team member provides direct support to a coaching team member in order to share successes and challenges, integrate the solution with daily tasks, and clarify any areas of confusion. This support promotes trust and confidence not only in the software but also with business processes being implemented. Having support increases user knowledge, confidence, and adoption, and reduces the likelihood that users will resort back to a paper-based system. Additionally, the Northwoods project team member helps an agency develop best practices for the solution.

Training and Implementation Support Phases

Training and Implementation Support for Traverse, which includes the training and implementation support activities discussed in the previous sections, is broken into two phases: limited production (LP) and full production (FP).

Limited Production

The Northwoods project team will provide targeted development for the Dane DHS coaching team and other LP participants as part of Northwoods' implementation. Consisting of a combination of supervisors, social workers, clerical staff, and administrative staff, the coaching team (and other LP participants as applicable) will receive support and consultation, as well as one-on-one assistance, during a series of remote targeted-support sessions. This series of sessions will allow the coaches to quickly apply Traverse to their daily responsibilities and enable them to become valuable internal supports for their peers once all FP participants are appropriately trained on the software.

Full Production

During the FP rollout of Traverse, Northwoods will provide e Traverse training sessions to end users as the coaching team provides targeted support sessions. The Dane DHS coaching team will work closely with end users as they learn to use Traverse, applying new technology and revised business processes to their day-to-day work activities.

Work Requirements

The project is organized in phases that define the work required for a successful project.

Phase 0: All Project Phases

The following work requirements define the specific tasks the Northwoods project team and the Dane DHS project team will complete throughout all project phases. The timeline for completion is determined by the Baseline Project Schedule deliverable, as developed by the Northwoods Project Manager and approved by the Dane DHS Project Manager.

Responsibilities

Code	Description	Responsible Party
0.1	Facilitate status review meetings throughout the 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
0.2	Attend status review meetings	Dane DHS
0.3	Prepare and distribute written status reports, including updates pertaining to project deliverables	Northwoods
0.4	Review written status reports	Dane DHS
0.5	Support Dane DHS coaches	Northwoods

Phase 1: Startup

Project startup represents one of the most important aspects of the overall project. It focuses specifically on planning and communication. During this phase, the Northwoods project team focuses on all aspects of project initiation and planning, which allows the project team to monitor, control, and complete the project within time and budget constraints while meeting all required deliverables.

Objectives

1. Plan and initiate the project.
2. Assemble the Northwoods project team and secure necessary resources.
3. Assemble the Dane DHS project team and secure necessary resources.

Responsibilities

Code	Description	Responsible Party
1.1	Introduce Dane DHS to the Northwoods project team members and provide the agency with appropriate contact information	Northwoods
1.2	Introduce Northwoods to the Dane DHS Project Manager	Dane DHS
1.3	Request 4 to 6 common Dane DHS forms to begin Traverse forms design	Northwoods
1.4	Provide 4 to 6 forms to Northwoods	Dane DHS
1.5	Facilitate planning meeting with the Dane DHS Project Manager and other key stakeholders to: • Outline project goals • Establish roles and responsibilities of team members • Clarify the expectations of all parties • Create a shared commitment toward project success	Northwoods
1.6	Attend planning meeting with the Northwoods project team	Dane DHS
1.7	Review project management procedures with the Dane DHS Project Manager	Northwoods
1.8	Review the format and frequency of status reports with the Dane DHS Project Manager	Northwoods
1.9	Develop and submit the Baseline Project Schedule to the Dane DHS Project Manager for review	Northwoods
1.10	Evaluate and approve the Baseline Project Schedule	Dane DHS
1.11	Facilitate coaching overview meeting with Dane DHS leadership	Northwoods
1.12	Attend coaching overview meeting	Dane DHS
1.13	Facilitate technology meeting with Dane DHS to: • Identify technical requirements and discuss implementation timelines • Discuss eWiSACWIS technical requirements	Northwoods
1.14	Attend technology meeting with Northwoods	Dane DHS
1.15	Identify and assign the Dane DHS coaching team, subject matter experts, forms team, and taxonomy team	Dane DHS
1.16	Request user information for the Dane DHS coaching team, forms team, taxonomy team, and IT team for Traverse user provisioning	Northwoods

Code	Description	Responsible Party
1.17	Provide user information for the Dane DHS coaching team, forms team, taxonomy team, and IT team for Traverse user provisioning	Dane DHS
1.18	Schedule agency staff and provide environment/equipment for initial solution demonstration	Dane DHS

Phase 2: Design

This phase includes the objectives and responsibilities for designing the business and system requirements for the project.

Objectives

1. Identify business (functional) and system (nonfunctional) requirements.
2. Complete preliminary system design.

Responsibilities

Code	Description	Responsible Party
2.1	Provision the following SaaS environment(s): • Test • Production	Northwoods
2.2	Facilitate a coaching team session on coaching implementation methodology and communication	Northwoods
2.3	Participate in the coaching team session	Dane DHS
2.4	Take inventory of and order client hardware to ensure that it is available for deployment to Traverse end users	Dane DHS
2.5	Provision and distribute client-side hardware based on Northwoods' recommendations	Dane DHS
2.6	Submit the Traverse Functionality Document to the Dane DHS Head Coach	Northwoods
2.7	Lead initial solution demonstration for Dane DHS staff	Northwoods
2.8	Attend initial solution demonstration	Dane DHS
2.9	Facilitate Forms Gathering Introduction with the Dane DHS forms team	Northwoods
2.10	Participate in the Forms Gathering Introduction	Dane DHS

| **Work Requirements**

Code	Description	Responsible Party
2.11	Facilitate Forms Gathering Workshop with the Dane DHS forms team	Northwoods
2.12	Participate in the Forms Gathering Workshop	Dane DHS
2.13	Review existing forms library and update forms as needed to prepare for electronic forms design	Dane DHS
2.14	Provide Northwoods with all forms for forms design	Dane DHS
2.15	Facilitate business process review sessions with Dane DHS SMEs	Northwoods
2.16	Participate in all business process review sessions	Dane DHS
2.17	Develop and submit ETL Design Document to Dane DHS for review	Northwoods
2.18	Evaluate and approve the ETL Design Document	Dane DHS
2.19	Provision server(s) (virtual or physical) for ETL agent	Dane DHS
2.20	Provide access to eWiSACWIS data	Dane DHS
2.21	Stand up ETL agent on Dane DHS's network	Northwoods
2.22	Provide Northwoods with, at minimum, a CSV file for eWiSACWIS demographic data	Dane DHS
2.23	Develop the ETL solution based on requirements in the ETL Design Document, completing preliminary configurations of the ETL agent to ensure it appropriately receives data	Northwoods
2.24	Provide Northwoods with access to Compass Pilot in order for Northwoods to configure its Compass Pilot import tool	Dane DHS
2.25	Execute the Compass Pilot import tool to extract demographic data, case narratives, and people notes (as applicable) from Compass Pilot	Northwoods
2.26	Review data elements and determine business rules for the Laserfiche import process, including specific business rules around mapping document types to content types and connections to people and cases	Dane DHS
2.27	Configure and update, where appropriate, the Dane DHS-provided Laserfiche taxonomy within Traverse	Northwoods
2.28	Provide Northwoods with access to Dane DHS's Laserfiche environment(s) in order for Northwoods to configure its import tool	Dane DHS
2.29	Map content types and rules for connecting content to people and cases	Northwoods

Code	Description	Responsible Party
2.30	Execute the import tool to perform the initial transfer of Laserfiche content into Traverse	Northwoods
2.31	Provide Dane DHS with technical requirements for configuring Microsoft ADFS	Northwoods
2.32	Configure Microsoft ADFS according to Northwoods' technical requirements	Dane DHS
2.33	Configure the Traverse production environment to integrate with Dane DHS' Microsoft ADFS	Dane DHS
2.34	Request full end user information for Traverse user provisioning	Northwoods
2.35	Provide full end user information for Traverse user provisioning	Dane DHS
2.36	Provide finalized taxonomy to Northwoods	Dane DHS
2.37	Configure Traverse according to solution requirements	Northwoods

Phase 3: Test

The Northwoods project team performs system testing—along with ETL testing—within a dedicated test environment to confirm the system complies with specified requirements. ETL testing involves testing of the ETL process(es) to confirm data from eWiSACWIS is available and mapped correctly.

Objective

1. Verify that all functional and nonfunctional requirements are satisfied prior to full production implementation.
2. Verify Production Release Criteria have been achieved.

Responsibilities

Code	Description	Responsible Party
3.1	Perform system testing within a dedicated test environment to verify the solution's configuration complies with specified requirements	Northwoods
3.2	Perform ETL testing within a dedicated test environment to ensure the ETL process(es) are configured correctly and in accordance with the ETL Design Document	Northwoods
3.3	Provide Dane DHS IT with consultation around updating hardware and software systems configuration, as needed	Northwoods

| **Work Requirements**

Code	Description	Responsible Party
3.4	Facilitate ETL review with Dane DHS	Northwoods
3.5	Participate in the ETL review	Dane DHS
3.6	Formally approve the ETL review, granting Northwoods approval to deploy Traverse to the production environment	Dane DHS

Phase 4: Deploy

This phase includes the objectives and responsibilities for deploying the project, including an iterative, multilayered approach to training and implementation support.

Objective

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

Responsibilities

Code	Description	Responsible Party
4.1	Deploy ETL process(es) to the Traverse production environment	Northwoods
4.2	Place electronic forms into the Dane DHS Traverse production system	Northwoods
4.3	Deploy client-side hardware based on recommendations	Dane DHS
4.4	Deploy desktop scanner drivers to applicable worker desktops	Dane DHS
4.5	Install the Dynamsoft scanning utility on worker desktops	Dane DHS
4.6	Add Traverse browser shortcut to worker desktops	Dane DHS
4.7	Add Traverse to favorites/bookmarks in worker browsers	Dane DHS
4.8	Add Traverse link to Dane DHS intranet site	Dane DHS
4.9	Deploy the Traverse mobile applications to worker mobile devices	Dane DHS
4.10	Develop and submit training schedule to Dane DHS for review	Northwoods
4.11	Evaluate and approve the training schedule	Dane DHS
4.12	Schedule training sessions, create rosters, and provide training equipment and logistical support	Dane DHS

Code	Description	Responsible Party
4.13	Conduct Traverse system administration training for designated Dane DHS staff	Northwoods
4.14	Participate in Traverse system administration training	Dane DHS
4.15	Review maintenance and support protocol/procedures with Dane DHS	Northwoods
4.16	Review maintenance and support protocol/procedures with Northwoods	Dane DHS
4.17	Conduct Traverse instructor-led training sessions, reviewing Dane DHS-specific configuration with the coaching team	Northwoods
4.18	Participate in the Traverse instructor-led training sessions	Dane DHS
4.19	Conduct targeted limited production support sessions	Northwoods
4.20	Participate in targeted limited production support sessions	Dane DHS
4.21	Conduct the end user kickoff session, introducing end users to Traverse	Dane DHS
4.22	Conduct Traverse instructor-led training sessions with end users	Northwoods
4.23	Conduct coach-led targeted full production support sessions	Dane DHS
4.24	Participate in coach-led full production targeted support sessions	Dane DHS
4.25	Conduct a coaching team session on long-term training, support, and onboarding for post-project success	Northwoods
4.26	Participate in the coaching team session	Dane DHS
4.27	Conduct a coaching team session to perform an end-of-project assessment	Northwoods
4.28	Participate in the end-of-project assessment session	Dane DHS

Phase 5: Closeout

This phase includes the objectives and responsibilities for finalizing the project.

Objective

1. Confirm Project Acceptance Criteria.
2. Verify completion of work requirements and deliverable acceptance.
3. Verify Project Acceptance Criteria have been achieved.
4. Formally close the project.

| **Work Requirements**

Responsibilities

Code	Description	Responsible Party
5.1	Review outstanding issues with the Dane DHS Project Manager	Northwoods
5.2	Review Project Acceptance Criteria with the Dane DHS Project Sponsor and Project Manager	Northwoods
5.3	Submit Project Acceptance form for signoff	Northwoods
5.4	Approve project acceptance	Dane DHS
5.5	Perform administrative closure: final invoicing; collection and archival of project records; and release of project resources (for example, staff, facilities, and automated systems)	Northwoods
5.6	Decommission the Traverse test environment	Northwoods

Location and Hours of Work

In order to reduce deployment barriers, all work activities performed by the Northwoods project team will be performed remotely.

The Northwoods project team ensures the effective exchange of information and transfer of knowledge by using alternate methods of communication including but not limited to email, teleconferencing, and remote network access.

Project Acceptance

The following acceptance criteria are used to acknowledge acceptance of the final project deliverable:

- All Northwoods assigned project work requirements have been completed.
- All project deliverables have been accepted.

The Northwoods Project Manager submits a Project Acceptance form once project acceptance criteria have been achieved. The Dane DHS Project Sponsor, or authorized designee, evaluates whether the final project deliverable meets project acceptance criteria listed above. If the final project deliverable meets the project acceptance criteria, the Dane DHS Project Sponsor, or authorized designee, signs the Project Acceptance form within five business days to acknowledge acceptance of the project.

Should the final project deliverable fail to conform to acceptance criteria, the Dane DHS Project Sponsor, or authorized designee, documents any deficiencies in the Project Acceptance form and returns the form to the Northwoods Project Manager within five business days. The Northwoods Project Manager then facilitates corrective action and resubmits the Project Acceptance form once corrective action is complete. If the Project

Acceptance form is not returned to the Northwoods Project Manager within five business days, the project is deemed accepted by the customer.

Project Assumptions

The following assumptions are used to acknowledge requirements and dependencies for the project.

Code	Topic	Assumption
A.1	General	All project participants will provide the necessary resources (for example, human resources, facilities, and equipment) to complete assigned work activities within established timelines in the approved Baseline Project Schedule deliverable.
A.2	General	Dane DHS will provide Northwoods with local and remote (VPN) network access and appropriate security privileges to application server(s) for the Northwoods project team to complete configuration of solution software.
A.3	General	Dane DHS will provide: • Technical assistance as needed • Appropriate security and network access levels to all required support systems related to the project • Appropriate access levels, procedure documentation, and/or consultation for all supporting systems
A.4	General	Northwoods will deliver all services associated with this project remotely.
A.5	General	Dane DHS will provide all required ETL agent servers and access at the start of the project.
A.6	General	Dane DHS will adhere to timeframes established in a mutually agreed upon Baseline Project Schedule. Delays in project activities may result in additional service costs, change orders, and possible delays in the project.
A.7	Project Planning and Management	The Dane DHS Project Manager or Dane DHS Head Coach will coordinate activities for Dane DHS resources (for example, personnel and facilities).
A.8	Taxonomy	Northwoods will update Dane DHS's existing taxonomy for use within Traverse.
A.9	Forms Design	The Northwoods project team will be responsible for reviewing and approving all Traverse forms prior to placing them in the production environment.

Code	Topic	Assumption
A.10	Forms Design	The Northwoods forms designers will only design forms in English and—upon request—Spanish, with each designed form contributing to the total number of forms purchased in accordance with the Dane DHS Traverse contract. Dane DHS will be responsible for identifying and/or requesting Spanish forms during project startup.
A.11	Client Hardware Deployment	Dane DHS will purchase and install client hardware within timeframes established in a mutually agreed upon Baseline Project Schedule. Delays in purchasing client hardware may result in additional service costs and possible delays in the project.
A.12	Client Hardware Deployment	Dane DHS will be responsible for configuring an appropriate Enterprise Mobility Management (EMM) tool.
A.13	Client Hardware Deployment	Northwoods will provide technical specifications for Dane DHS to procure all necessary client hardware.
A.14	Client Hardware Deployment	Dane DHS will be responsible for purchasing appropriate desktop scanners.
A.15	Commercially Available Software	Traverse is a commercially available software product. As such, suggestions for changes/enhancements to software source code may be considered for future releases, but implementation will not be contingent upon these changes.
A.16	System Integration	Dane DHS will adhere to requirements for Traverse single sign-on functionality, provided by Northwoods.
A.17	Extract, Transform, Load	Dane DHS will adhere to the ETL Design Document and the ETL specifications provided by Northwoods.
A.18	Extract, Transform, Load	Changes to the ETL process(es) will be subject to Change Management, as detailed in "Appendix A: Change Management".
A.19	Extract, Transform, Load	Dane DHS will be responsible for providing Northwoods with access to Laserfiche.
A.20	Extract, Transform, Load	Extract files are deleted after they have been successfully captured on the Traverse server. If, for any reason, there is already one or more extract file in the same location, the ETL process will place the new extract file in the location.
A.21	Extract, Transform, Load	eWiSACWIS data files, provided by Dane DHS, must have a unique identifier for each case and person.

Code	Topic	Assumption
A.22	Extract, Transform, Load	Laserfiche content, as set up in Compass Pilot, must have a unique identifier.
A.23	Extract, Transform, Load	Dane DHS will be responsible for resolving any duplicate records for cases and people within eWiSACWIS and Compass Pilot prior to the execution of any Traverse ETL process(es).
A.24	Extract, Transform, Load	Northwoods will not be responsible for resolving any duplicate records for cases and people within Traverse.
A.25	Extract, Transform, Load	Dane DHS Traverse users will discontinue use of Compass Pilot following Northwoods' one-time data import and subsequent project closure. Any use of Compass Pilot occurring after Northwoods' one-time data import and project closure will require additional import(s), which are not considered within the scope of this project and will be subject to Change Management, as detailed in "Appendix A: Change Management".
A.26	Extract, Transform, Load	Dane DHS must provide Northwoods with a prompt response in the event Northwoods identifies an eWiSACWIS data issue, a connection issue with the ETL server, or if Northwoods must deploy an upgrade to the ETL agent on the ETL server.
A.27	Extract, Transform, Load	In the event case or person records in Compass Pilot do not match those in Traverse, Dane County will be responsible for resolving such records to ensure they are appropriately associated within Traverse.
A.28	Extract, Transform, Load	Northwoods will only be able to automate the merging of entities in Traverse (cases, people, or organizations) if Dane DHS provides data that includes information about which entities are merged and when. Without this data, Northwoods will be unable to automate the merging of entities (and content connected to those entities) when that action occurs in eWiSACWIS.
A.29	Extract, Transform, Load	Northwoods will only be able to automate the purging (or expungement) of records if Dane DHS provides an ingestible spreadsheet (in a format provided by Northwoods) or appropriate database access that clearly identifies what should be purged (or expunged) with unique identifiers.

Code	Topic	Assumption
A.30	Extract, Transform, Load	When Dane DHS provides a spreadsheet (or database access) of unique identifiers for entities that should be purged or expunged at a regular cadence, content connected to those purged records will be deleted according to the following business rules: • Content connected to a deleted case, and nothing else, will be deleted. • Content connected to a deleted case, and only other person records, will be deleted. • Content connected to a deleted case, and also any other cases, will be retained on those other case pages. Any change to these business rules will be subject to Change Management, as detailed in "Appendix A: Change Management".
A.31	Testing	Dane DHS will provide the appropriate network access and security privileges for Northwoods' testers.
A.32	Testing	Following completion of the ETL review, as detailed in "Phase 3: Test," Northwoods will promote Traverse to its production environment (upon Dane DHS's approval and authorization). Upon project completion, Northwoods will decommission the Traverse test environment.
A.33	Training	Consistent with the approved training schedule, Dane DHS will ensure users can access remote and web-based training.
A.34	Training	Based on a mutually approved training schedule, Dane DHS users will attend each scheduled training session. Northwoods is not responsible for makeup training sessions.
A.35	Out of Scope	Imaging of closed case files (that is, backfile scanning) outside of case file scanning mutually approved during the project is considered outside of project scope. Northwoods will train Dane DHS on scanning best practices for the open and active cases that will be ingested during implementation. While Dane DHS will be responsible for scanning any inactive and/or closed case files, this activity will not impact Northwoods' ability to implement Traverse and ultimately close this project in a timely manner.
A.36	Out of Scope	Shredding of paper documents is considered outside of project scope.
A.37	Out of Scope	Following project closure, activity template creation and maintenance is considered outside of project scope and will be subject to additional fees.

Code	Topic	Assumption
A.38	Out of Scope	Following project closure, any forms maintenance requests that exceed the allotted 65 hours of forms maintenance is considered outside of project scope and will be subject to additional fees.
A.39	Out of Scope	Importing case notes from eWiSACWIS is considered out of scope.
A.40	Out of Scope	Importing documents not stored within Laserfiche (for example, from local shared drives) is considered out of scope.

Appendix A: Change Management

Many projects suffer from "scope creep," "growing requirements," and changes in plans that ultimately cause unnoticed slippage in the budget and schedule and loss of the control needed to deliver the intended work products according to specifications. Effective Change Management ensures that changes within the project are made in a consistent manner and that key stakeholders are informed of the state of the requested changes and the impact of those changes.

Change Control Process

The purpose of Northwoods' Change Control Process is to ensure that changes within the project are made in a consistent manner and that key stakeholders are informed of the state of the requested changes and the impact of these changes. Whenever possible, the Northwoods project team works with Dane DHS to identify in-scope workarounds for any out-of-scope requests.

The Change Control Process is a three-step process.

- Identification
- Evaluation
- Management

The following diagram represents the Change Control Process for the project.
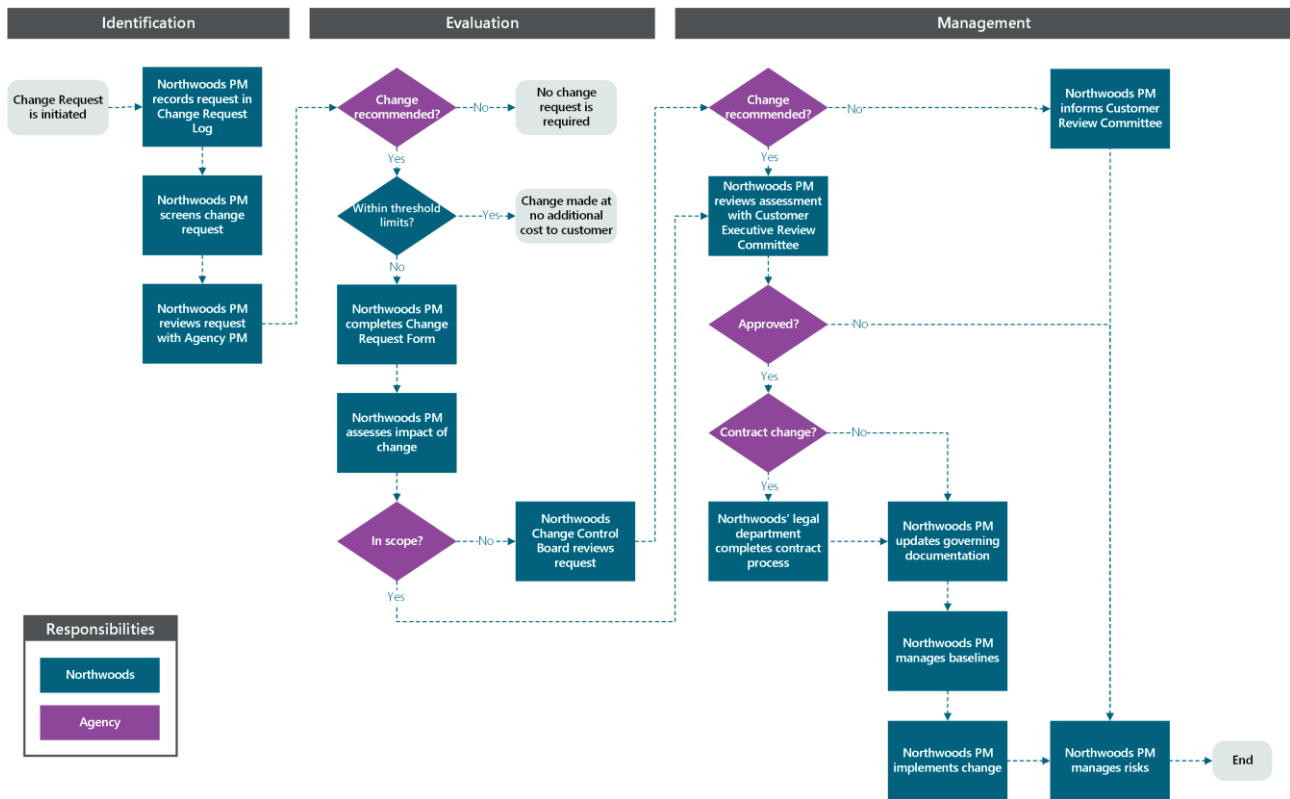
Identification

A Change Request (CR) form is used to formally initiate a change request. Types of change requests to be initiated using this form include changes to the project.

Any project stakeholder can initiate a change request by submitting a Change Request (CR) form to the Northwoods Project Manager. The Northwoods Project Manager screens the request to determine whether or not there is adequate information for evaluation. The Northwoods Project Manager may request that more information be provided. Once enough information is available to assess the CR, the Northwoods Project Manager reviews the request with the Dane DHS Project Manager, and they collectively decide if the change should be recommended for further evaluation.

Evaluation

The Northwoods Project Manager and the Dane DHS Project Manager can jointly accept in-scope or out-of-scope changes whose impact does not exceed the following threshold limits:

- A delay of one or more days to any project deliverable, milestone, or scheduled project completion date
- Scope changes to any project deliverable
- Negative impact on the quality of a project deliverable
- Additional expenditures in excess of $100 or additional project resources

| **Appendix A: Change Management**

- Requested changes/enhancements to project products

If the change request exceeds any of the established threshold limits, the Northwoods Project Manager evaluates whether the CR is within the overall scope of the project. If the requested change exceeds the threshold but is within scope of the project, the Northwoods Project Manager refers the CR to the Northwoods Project Management Office (PMO) for a decision. In instances for which the CR exceeds the threshold but is not within scope of the project, the Northwoods Project Manager refers the matter to the Northwoods Change Control Board (CCB), which determines if the change request is to be implemented. The Northwoods Project Manager communicates decisions by the PMO/CCB to the Dane DHS Project Manager.

Management

The Northwoods Project Manager is responsible for implementing approved change requests and managing the risks associated with all approved or rejected change requests. The details surrounding all approved change requests expanding the scope of the project, are provided to each respective legal department to determine if such changes require a change to existing governing project documents or whether additional governing documents are required.

Appendix B: Deliverable Review Procedures

The tools, techniques, and procedures described in this section are used to create a clear and unambiguous definition of each project deliverable and of the process used to obtain acceptance of each deliverable. To be accepted, all deliverables must be:

- In accordance with the scope of work defined for this project
- Complete and ready for handover
- Reviewed and approved by the Dane DHS Project Manager in accordance with the defined acceptance criteria for the respective deliverable

Review Methods

Depending on its classification, project deliverables are reviewed through formal evaluation, functional review, or walk-through inspection. The purpose of deliverable classification is to ensure each deliverable receives the appropriate level of review and acceptance based on the characteristics, complexity, and source of the deliverable.

- **Formal Evaluation**: The systematic process of evaluating whether a deliverable meets specifications. Formal evaluations are most appropriate for written deliverables that require review by multiple Dane DHS SMEs.
- **Functional Review**: The informal and immediate review of a deliverable to gain immediate feedback about content or technical quality. Alterations to the deliverable often occur during the review. Functional reviews are most appropriate for written deliverables or performance-based deliverables within the area of expertise and/or responsibility of a single person or small work group.
- **Walk-Through Inspection**: The informal and immediate examination of material or equipment. The purpose is to validate the completion of a deliverable work activity. Walk-through inspections are most appropriate for performance-based deliverables within the area of expertise and/or responsibility of a single person or small work group.

Functional reviews and walk-through inspections typically allow for faster turnaround time for review and acceptance than formal evaluations. They differ from formal evaluation with their openness of structure in which direct verification occurs at the time of review or inspection.

Formal Evaluation

The following deliverable acceptance procedure describes the formal evaluation process:

1. The Northwoods Project Manager submits a Deliverable Acceptance form (for more information, see the "Acceptance Log" section of this document) as the deliverable is completed. Within five business

days, the Dane DHS Project Manager and any necessary Dane DHS SMEs evaluate whether the deliverable meets the acceptance criteria.

2. If the deliverable meets the outlined specifications, the Dane DHS Project Manager signs the Deliverable Acceptance form acknowledging acceptance of the deliverable. The Dane DHS Project Manager then returns the form to the Northwoods Project Manager within the five-day review period and no further action is necessary.

3. If a deliverable were to fail to conform to acceptance criteria, the Dane DHS Project Manager must adequately document the deficiency in the Deliverable Acceptance form and return the form to the Northwoods Project Manager within the five-day review period. The Northwoods Project Manager then facilitates corrective action and returns the corrected deliverable within a mutually agreed upon timeframe.

4. The Dane DHS Project Manager evaluates and approves or rejects corrected deliverables received from the Northwoods Project Manager within five business days, unless the Dane DHS Project Manager notifies the Northwoods Project Manager within the five business days that additional time is required for the review. Both the Northwoods Project Manager and the Dane DHS Project Manager must mutually agree to the time of the extension.

5. If additional corrective action is necessary, both the Northwoods Project Manager and Dane DHS Project Manager must mutually agree to the time period for corrective action.

6. Any deliverables not evaluated and returned to the Northwoods Project Manager for correction within the agreed upon period are deemed accepted by Dane DHS.

Functional Review

The following deliverable acceptance procedure describes the process for functional reviews:

1. The Northwoods Project Manager meets with the Dane DHS Project Manager to evaluate whether the deliverable meets the acceptance criteria. As needed, additional reviewers may review the deliverable based on specific areas of expertise.

2. The Dane DHS Project Manager determines if the deliverable should be accepted or rejected. If a deliverable were to fail to conform to acceptance criteria, the Northwoods Project Manager and the Dane DHS Project Manager may immediately attempt to make alterations to the deliverable. If the deliverable meets the outlined specifications, the Dane DHS Project Manager signs the Deliverable Acceptance form acknowledging acceptance of the deliverable and no further action is necessary.

3. Should a deliverable fail to conform to acceptance criteria and immediate alterations are unsuccessful or not practical/possible, the Northwoods Project Manager documents the deficiency in the Deliverable Acceptance form. The Northwoods Project Manager then facilitates corrective action and returns the corrected deliverable within three business days. The Northwoods Project Manager and the Dane DHS Project Manager may mutually agree to a time extension if additional time is necessary for corrective action.

4. Following corrective action, the Northwoods Project Manager notifies the Dane DHS Project Manager. The Northwoods Project Manager and the Dane DHS Project Manager meet within three business days

after notification of corrective action is sent to the Dane DHS Project Manager for the Dane DHS Project Manager to approve or reject the corrected deliverable, unless the Dane DHS Project Manager notifies the Northwoods Project Manager that additional time is required. Both the Northwoods Project Manager and the Dane DHS Project Manager must mutually agree to a time extension to review the corrected deliverable.

5. If additional corrective action is necessary, both the Northwoods Project Manager and the Dane DHS Project Manager must mutually agree to the time period for corrective action.

6. Any deliverables not inspected within the agreed upon period are deemed accepted by the Dane DHS Project Manager.

Walk-Through Inspection

The following deliverable acceptance procedure describes the process for walk-through inspections:

1. The Northwoods Project Manager meets with the Dane DHS Project Manager to evaluate whether the deliverable meets the acceptance criteria. As needed, additional reviewers may review the deliverable based on specific areas of expertise.

2. The Dane DHS Project Manager determines if the deliverable should be accepted or rejected. If a deliverable were to fail to conform to acceptance criteria, the Northwoods Project Manager and the Dane DHS Project Manager may immediately attempt to make alterations to the deliverable. If the deliverable meets the outlined specifications, the Dane DHS Project Manager signs the Deliverable Acceptance form acknowledging acceptance of the deliverable and no further action is necessary.

3. Should a deliverable fail to conform to acceptance criteria and immediate alterations are unsuccessful or not practical/possible, the Northwoods Project Manager documents the deficiency in the Deliverable Acceptance form. The Northwoods Project Manager then facilitates corrective action and returns the corrected deliverable within three business days. The Northwoods Project Manager and the Dane DHS Project Manager may mutually agree to a time extension if additional time is necessary for corrective action.

4. Following corrective action, the Northwoods Project Manager notifies the Dane DHS Project Manager. The Northwoods Project Manager and the Dane DHS Project Manager meet within three business days after notification of corrective action is sent to the Dane DHS Project Manager for the Dane DHS Project Manager to approve or reject the corrected deliverable, unless the Dane DHS Project Manager notifies the Northwoods Project Manager that additional time is required. Both the Northwoods Project Manager and the Dane DHS Project Manager must mutually agree to a time extension to review the corrected deliverable.

5. If additional corrective action is necessary, both the Northwoods Project Manager and the Dane DHS Project Manager must mutually agree to the time period for corrective action.

6. Any deliverables not inspected within the agreed upon period are deemed accepted by the Dane DHS Project Manager.

Acceptance Log

The Northwoods Project Manager will maintain an Acceptance Log to document the delivery and approval of each deliverable. The Acceptance Log will include the following information:

- **ID**: The identification number assigned to the deliverable.

- **Deliverable Description**: Brief identification of the deliverable which may include the cross reference from the Project Management Plan or Acceptance Delivery Plan for the deliverable.

- **Date Submitted**: The date the Northwoods Project Manager presents the deliverable to the Dane DHS Project Manager for acceptance.

- **Approval Decision**: Indication of whether or not the deliverable is approved or rejected by the Dane DHS Project Manager.

- **Date of Decision**: Date that the approval or rejection decision by the Dane DHS Project Manager took place.

Timeliness

A mutually agreed upon Baseline Project Schedule establishes the baseline timeframes and how related deliverables are tracked and accounted for throughout the project. The Baseline Project Schedule is routinely evaluated by the Northwoods Project Manager for comparison of baseline data against actual performance. Risks and deviations to the plan are identified in written status reports and/or discussed during project team status meetings. As a result, the Northwoods Project Manager identifies schedule variance and potential problems, adjusts the schedule and/or reassigns resources, and reports progress to appropriate stakeholders and team members.

Appendix C: Deliverable Acceptance Criteria

The following table provides a deliverable description and identifies the review method and acceptance criteria standards for each deliverable in this project.

Deliverable	Description	Acceptance Criteria
Baseline Project Schedule	Defines work breakdown activities associated with developing project deliverables and executing project work.	*Review Method: Formal Evaluation* The delivered Project Schedule addresses the following: • Deliverable task activities • Estimated start and finish dates for all task activities • Intermediate and terminating milestones • Summary tasks that roll up task activities
Training Schedule	Establishes when solution training will occur.	*Review Method: Formal Evaluation* The delivered Training Schedule details the time, place, and assigned resource(s) for all project-associated training activities.
Client Software Deployment	Includes the deployment of all client-side software by Dane DHS.	*Review Method: Walk-Through Inspection* Solution software has been installed in accordance with the "Client Software Deployment" section of this document and is ready for production use.
Business Process Review	Includes the review of defined business processes which are a result of the deployment of the Traverse solution.	*Review Method: Functional Review* In alignment with the coaching methodology used to implement the full Traverse solution, Business Process Review has been provided to jointly review and analyze business processes leading to the best use of Traverse for the needs of the agency.

Deliverable	Description	Acceptance Criteria
SaaS Environment Setup	Includes provisioning the cloud environment(s).	*Review Method: Functional Review* The SaaS environment(s) have been configured and are ready for production.
ETL Design Document	Details requirements for the following: • The development of the ETL process(es) between Compass Pilot, eWiSACWIS, and Traverse • The development of the server environment	*Review Method: Formal Evaluation* The delivered ETL Design Document addresses: • The fields that will be drawn from eWiSACWIS and Compass Pilot. • Provides case-, client-, and service provider-based information to from eWiSACWIS to Traverse. • Provides content-driven information from Laserfiche and Compass Pilot to Traverse, including client documents from Laserfiche and case narratives from Compass Pilot • Verifies that work requirements in the "Server Environment" section of this document have been completed
Baseline ETL Configuration	Defines the configuration of the ETL process(es).	*Review Method: Functional Review* ETL process(es) have been configured consistent with the approved ETL Design Document. Preliminary ETL process(es) have been placed under configuration management and baselined as a benchmark and reference point for future system changes.
Taxonomy Development	Details Dane DHS's taxonomy, which underpins their Traverse solution.	*Review Method: Formal Evaluation* The taxonomy contains all applicable content types associated with Dane DHS's business units.

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Deliverable	Description	Acceptance Criteria
Electronic Forms Design	Includes the design of electronic forms in the Traverse solution.	*Review Method: Functional Review* Forms created within the Traverse solution, as established in the "Electronic Forms Design" section of this document, have been added to the production environment.
ETL Testing	Includes the testing of the Traverse ETL process(es).	*Review Method: Walk-Through Inspection* All requirements in the ETL Design Document, provided as part of the project, have been completed.
System Testing	Includes the testing of the Traverse solution.	*Review Method: Walk-Through Inspection* The Traverse solution has been tested and approved in accordance with "Phase 3: Test."
ETL Review	Includes the review of specific baselines to ensure the project is ready to proceed with end-user implementation.	*Review Method: Walk-Through Inspection* All baselines are deemed acceptable and the solution is ready to "go live."
Training	Includes training necessary to enable all end users, including front-line workers, supervisors, management, and support staff, to independently operate primary system functions.	*Review Method: Functional Review* Consistent with the approved training schedule and course descriptions, training has been conducted in accordance with the "Training and Implementation Support" section of this document.
Implementation Support	Includes the post-training personal assistance for limited production staff by Northwoods personnel.	*Review Method: Functional Review* Implementation support has been provided in accordance with the "Training and Implementation Support" section of this document.