

# Dane County Contract Cover Sheet

Revised 07/2023

Res 196  
significant

BAF # 23129  
Acct: Breunig  
Mgr: Clemens  
Budget Y/N: N

<b>Dept./Division</b>	Human Services / CYF		
<b>Vendor Name</b>	Northwoods Consulting Partners, Inc	<b>MUNIS #</b>	23789
<b>Brief Contract Title/Description</b>	New case management software for CYF/CPS staff		
<b>Contract Term</b>	Through 12/31/26 (with 2 optional one-year extensions)		
<b>Contract Amount</b>	\$1,334,820.00		

<b>Contract #</b> Admin will assign	15221
<b>Type of Contract</b>	
<input type="checkbox"/>	Dane County Contract
<input type="checkbox"/>	Intergovernmental
<input type="checkbox"/>	County Lessee
<input type="checkbox"/>	County Lessor
<input type="checkbox"/>	Purchase of Property
<input type="checkbox"/>	Property Sale
<input type="checkbox"/>	Grant
<input checked="" type="checkbox"/>	Other

Department Contact Information		Vendor Contact Information	
<b>Name</b>	Spring Larson, CCA	<b>Name</b>	Gary Heinze
<b>Phone #</b>	608-242-6391	<b>Phone #</b>	614-781-7800
<b>Email</b>	dcdhscontracts@countyofdane.com	<b>Email</b>	gheinze@teamnorthwoods.com
<b>Purchasing Officer</b>			

<b>Purchasing Authority</b>	<input type="checkbox"/> \$12,000 or under – Best Judgment (1 quote required)	
	<input type="checkbox"/> Between \$12,000 – \$43,000 (\$0 – \$25,000 Public Works) (3 quotes required)	
	<input type="checkbox"/> Over \$43,000 (\$25,000 Public Works) (Formal RFB/RFP required)	<b>RFB/RFP #</b>
	<input type="checkbox"/> Bid Waiver – \$43,000 or under (\$25,000 or under Public Works)	
	<input checked="" type="checkbox"/> Bid Waiver – Over \$43,000 (N/A to Public Works)	
	<input type="checkbox"/> N/A – Grants, Leases, Intergovernmental, Property Purchase/Sale, Other	

<b>MUNIS Req.</b>	<b>Req #</b> TBD	<b>Org:</b> HSCAPPRJ	<b>Obj:</b> 57227	<b>Proj:</b>	
	<b>Year</b>	<b>Org:</b>	<b>Obj:</b>	<b>Proj:</b>	
		<b>Org:</b>	<b>Obj:</b>	<b>Proj:</b>	

Budget Amendment	
<input type="checkbox"/>	A Budget Amendment has been requested via a Funds Transfer or Resolution. Upon addendum approval and budget amendment completion, the department shall update the requisition in MUNIS accordingly.

<b>Resolution</b> Required if contract exceeds \$100,000	<input type="checkbox"/> Contract does not exceed \$100,000	<b>Res #</b>	196
	<input type="checkbox"/> Contract exceeds \$100,000 – resolution required.		<b>Year</b>
	<input checked="" type="checkbox"/> A copy of the Resolution is attached to the contract cover sheet.		

CONTRACT MODIFICATIONS – Standard Terms and Conditions		
<input type="checkbox"/> No modifications.	<input type="checkbox"/> Modifications and reviewed by:	<input type="checkbox"/> Non-standard Contract

APPROVAL
<b>Dept. Head / Authorized Designee</b>


APPROVAL – Contracts Exceeding \$100,000	
<b>Director of Administration</b>	<b>Corporation Counsel</b>
	SHR 10/2/23

APPROVAL – Internal Contract Review – Routed Electronically – Approvals Will Be Attached			
<b>DOA:</b>	<b>Date In:</b> 10/6/23	<b>Date Out:</b> _____	<input checked="" type="checkbox"/> Controller, Purchasing, Corp Counsel, Risk Management

## Goldade, Michelle

---

**From:** Goldade, Michelle  
**Sent:** Friday, October 6, 2023 11:07 AM  
**To:** Hicklin, Charles; Rogan, Megan; Lowndes, Daniel  
**Cc:** Oby, Joe  
**Subject:** Contract #15221  
**Attachments:** 15221.pdf

<b>Tracking:</b>	<b>Recipient</b>	<b>Read</b>	<b>Response</b>
	Hicklin, Charles	Read: 10/6/2023 12:13 PM	Approve: 10/6/2023 12:13 PM
	Rogan, Megan	Read: 10/6/2023 11:09 AM	Approve: 10/6/2023 11:09 AM
	Lowndes, Daniel	Read: 10/6/2023 11:38 AM	Approve: 10/6/2023 11:40 AM
	Oby, Joe		

Please review the contract and indicate using the vote button above if you approve or disapprove of this contract.

Contract #15221  
Department: Human Services  
Vendor: Northwoods Consulting Partners Inc  
Contract Description: New case management software for CYF/CPS staff (Res 196)  
Contract Term: 1/1/23 – 12/31/26  
Contract Amount: \$1,334,820.00

*Michelle Goldade*

Administrative Manager  
Dane County Department of Administration  
Room 425, City-County Building  
210 Martin Luther King, Jr. Boulevard  
Madison, WI 53703  
PH: 608/266-4941  
Fax: 608/266-4425  
TDD: Call WI Relay 711

Please Note: I currently have a modified work schedule...I am in the office Mondays and Wednesdays and working remotely Tuesdays, Thursdays and Fridays in accordance with COVID 19 response guidelines.

1  
2  
3  
4  
5  
6  
7  
8  
9  
10  
11  
12  
13  
14  
15  
16  
17  
18  
19  
20  
21  
22  
23  
24  
25  
26  
27  
28  
29  
30  
31  
32  
33  
34  
35  
36  
37  
38  
39  
40

**2023 RES-196**

**AWARDING CONTRACT TO NORTHWOODS CONSULTING PARTNERS, INC.  
DCDHS – CYF DIVISION**

The Dane County Department of Human Services (DCDHS) Children Youth and Families (CYF) division requests to award a major contract for software implementation services and up to a five year software subscription for use of Northwoods Traverse Software. This purchase reflects an expansion of the use of the current document management product from CPS to additionally include our Youth Justice and Out of Home Care staff for a total of 275 user licenses. The software functionality allows social workers to efficiently manage and facilitate 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.

The 2022 capital budget provided funding to replace and upgrade the current software which performs this function. Those capital funds will be used to support implementation costs and the first year of software licensing. A bid waiver request was submitted by the Department and approved by the Dane County Personnel & Finance Committee for this purchase on 9/18/2023.

Total planned costs to be incurred under the awarded contract are as follows:

Year 1 Implementation:	\$185,400
Year 1 Subscription Software:	\$223,080
Year 2 Subscription Software:	\$223,080
Year 3 Subscription Software:	\$223,080
Year 4 Subscription Option:	\$234,234
Year 5 Subscription Option:	\$245,946

The total amount of funds to be awarded to Northwoods Consulting Partners, Inc. is \$1,334,820 for a contract through December 31, 2026 with two (2) possible one-year extensions. This resolution authorizes the use of those funds.

NOW, THEREFORE, BE IT RESOLVED that the following contract be awarded and that the County Executive and County Clerk are hereby authorized and directed to sign the agreement on behalf of Dane County, and that the Controller is authorized to issue payments related to the execution of the contract.

<u>Vendor</u>	<u>Amount</u>
Northwoods Consulting Partners, Inc.	\$1,334,820

**DANE COUNTY CONTRACT #** 15221

Revised 06/2021



**Department:** Human Services  
**Provider:** Northwoods Consulting Partners, Inc.  
**Expiration Date:** 12/31/2026  
(with two (2) possible one-year extensions)  
**Maximum Cost:** \$1,334,820.00

**Registered Agent (if applicable):** COGENCY GLOBAL INC.  
**Registered Agent Address:** 100 WILBURN RD STE 100,  
SUN PRAIRIE, WI 53590

**THIS AGREEMENT**, made and entered into, by and between the County of Dane (hereafter referred to as "COUNTY") and Northwoods Consulting Partners, Inc. (hereafter, "PROVIDER"),

**WITNESSETH:**

**WHEREAS** COUNTY, whose address is 1202 Northport Drive, Madison, WI 53704, desires to purchase services from PROVIDER for the purpose of providing child protective services (CPS) mobile applications/digital solutions for Dane County Department of Human Services; and

**WHEREAS** PROVIDER, whose address is 5200 Rings Road, Dublin, OH 43017, is able and willing to provide such services;

**NOW, THEREFORE**, in consideration of the above premises and the mutual covenants of the parties hereinafter set forth, the receipt and sufficiency of which is acknowledged by each party for itself, COUNTY and PROVIDER do agree as follows:

**I. TERM:**

The term of this Agreement shall commence as of the date by which all parties have executed this Agreement and shall end as of the EXPIRATION DATE set forth on page 1 hereof, unless sooner agreed to in writing by the parties. PROVIDER shall complete its obligations under this Agreement not later than the EXPIRATION DATE. COUNTY shall not be liable for any services performed by PROVIDER other than during the term of this Agreement. COUNTY shall never pay more than the Maximum Cost as stated above for all services. Upon failure of PROVIDER to complete its obligation set forth herein by the EXPIRATION DATE, COUNTY may invoke the penalties, if any, set forth in this document and its attachments.

**II. SERVICES:**

A. PROVIDER agrees to provide the services detailed in the bid specifications, if any; the request for proposals (RFP) and PROVIDER's response thereto, if any; and on the attached Schedule A, which is fully incorporated herein by reference. In the event of a conflict between or among the bid specifications, the RFP or responses thereto, or the terms of Schedule A or any of them, it is agreed that the terms of Schedule A, to the extent of any conflict, are controlling. In the event of a conflict between or among this Master Agreement and Schedule A, it is agreed that the terms of this Master Agreement, to the extent of any conflict, are controlling.

B. PROVIDER shall commence, carry on and complete its obligations under this Agreement with all deliberate speed and in a sound, economical and efficient manner, in accordance with this Agreement and all applicable laws. In providing services under this Agreement, PROVIDER agrees to cooperate with the various departments, agencies, employees and officers of COUNTY.

- C. PROVIDER agrees to secure at PROVIDER's own expense all personnel necessary to carry out PROVIDER's obligations under this Agreement. Such personnel shall not be deemed to be employees of COUNTY nor shall they or any of them have or be deemed to have any direct contractual relationship with COUNTY.
- D. No portion of funds under this Agreement may be used to support or advance religious activities.
- E. PROVIDER warrants that it has complied with all necessary requirements to do business in the State of Wisconsin and has met all state and federal service standards, certifications and assurances as expressed by State and Federal statutes, rules, and regulations applicable to the services covered by this Agreement.
- F. PROVIDER will follow applicable public health guidelines to provide safe services and a safe workplace. In addition, by signing this Agreement, PROVIDER acknowledges the contagious nature of COVID-19 and voluntarily assumes the risk that PROVIDER and its staff may be exposed to or infected by COVID-19 by providing services under this Agreement and that such exposure or infection may result in personal injury, illness, permanent disability, and death.

PROVIDER further acknowledges that PROVIDER is assuming all of the foregoing risks and accept sole responsibility for any injury to itself and staff, including, but not limited to, personal injury, disability, death, illness, damage, loss, claim, liability, or expense or any kind, that PROVIDER or its staff may experience or incur in connection with providing services. PROVIDER hereby releases, covenants not to sue, discharges, and holds harmless and indemnifies the COUNTY, its employees, agents, and representatives, of and from any and all claims, including all liabilities, claims, actions, damages, costs or expenses of any kind arising out of or relating thereto. Provider understands and agrees that this release includes any claims based on the actions, omissions, or negligence of COUNTY, its employees, agents and representatives, whether a COVID-19 infection occurs before, during, or after the provision of services under this Agreement.

**III. ASSIGNMENT/TRANSFER:**

PROVIDER shall not assign, subcontract or transfer any interest or obligation in this Agreement, without the prior written consent of COUNTY, including the hiring of independent contract service providers unless otherwise provided herein. Claims for money due or to become due PROVIDER from COUNTY under this Agreement may be assigned to a bank, trust company or other financial institution without such approval if and only if the instrument of assignment contains a provision substantially to the effect that it is agreed that the right of the assignee in and to any moneys due or to become due to PROVIDER shall be subject to prior claims of all persons, firms and corporations for services rendered or materials supplied for the performance of the work called for in this Agreement. PROVIDER shall promptly provide notice of any such assignment or transfer to COUNTY.

**IV. TERMINATION:**

- A. Failure of PROVIDER to fulfill any of its obligations under this Agreement in a timely manner, or violation by PROVIDER of any of the covenants or stipulations of this Agreement, shall constitute grounds for COUNTY to terminate this Agreement by giving a thirty (30) day written notice to PROVIDER.
- B. The following shall constitute grounds for immediate termination:
  - 1. violation by PROVIDER of any State, Federal or local law, or failure by PROVIDER to comply with any applicable States and Federal service standards, as expressed by applicable statutes, rules and regulations.
  - 2. failure by PROVIDER to carry applicable licenses or certifications as required by law.
  - 3. failure of PROVIDER to comply with reporting requirements contained herein.

4. inability of PROVIDER to perform the work provided for herein.
- C. Failure of the Dane County Board of Supervisors or the State or Federal Governments to appropriate sufficient funds to carry out COUNTY's obligations hereunder, shall result in automatic termination of this Agreement as of the date funds are no longer available, without notice.
- D. In the event COUNTY terminates this Agreement as provided herein, all finished and unfinished documents, services, papers, data, products, and the like prepared, produced or made by PROVIDER under this Agreement shall at the option of COUNTY become the property of COUNTY, and PROVIDER shall be entitled to receive just and equitable compensation, subject to any penalty, for any satisfactory work completed on such documents, services, papers, data, products or the like. Notwithstanding the above, PROVIDER shall not be relieved of liability to COUNTY for damages sustained by COUNTY by virtue of any breach of this Agreement by PROVIDER, and COUNTY may withhold any payments to PROVIDER for the purpose of offset.
- V. **PAYMENT:**  
COUNTY agrees to make such payments for services rendered under this Agreement as and in the manner specified herein and in the attached Schedule B, which is fully incorporated herein by reference. Notwithstanding any language to the contrary in this Agreement or its attachments, COUNTY shall never be required to pay more than the sum set forth on page 1 of this Agreement under the heading MAXIMUM COST, for all services rendered by PROVIDER under this Agreement.
- VI. **REPORTS:**  
PROVIDER agrees to make such reports as are required in the attached schedules, which is fully incorporated herein by reference. With respect to such reports it is expressly understood that time is of the essence and that the failure of PROVIDER to comply with the time limits set forth in said schedules shall result in the penalties set forth herein.
- VII. **DELIVERY OF NOTICE:**  
Notices, bills, invoices and reports required by this Agreement shall be deemed delivered as of the date of postmark if deposited in a United States mailbox, first class postage attached, addressed to a party's address as set forth above. It shall be the duty of a party changing its address to notify the other party in writing within a reasonable time.
- VIII. **INSURANCE & INDEMNIFICATION:**
- A. PROVIDER shall indemnify, hold harmless and defend COUNTY, its boards, commissions, agencies, officers, employees and representatives against any and all liability, loss (including, but not limited to, property damage, bodily injury and loss of life), damages, costs or expenses which COUNTY, its officers, employees, agencies, boards, commissions and representatives may sustain, incur or be required to pay by reason of PROVIDER's furnishing the services or goods required to be provided under this Agreement, provided, however, that the provisions of this paragraph shall not apply to liabilities, losses, charges, costs, or expenses caused by or resulting from the acts or omissions of COUNTY, its agencies, boards, commissions, officers, employees or representatives. Any failure on the part of the PROVIDER to comply with reporting or other provisions of its insurance policies shall not affect this PROVIDER's obligations under this paragraph. COUNTY reserves the right, but not the obligation, to participate in defense without relieving PROVIDER of any obligation under this paragraph. The obligations of PROVIDER under this paragraph shall survive the expiration or termination of this Agreement.
- B. In order to protect itself and COUNTY, its officers, boards, commissions, agencies, agents, volunteers, employees and representatives under the indemnity provisions of the subparagraph above, PROVIDER shall, at PROVIDER's own expense, obtain and at all times during the term of this Agreement keep in full force and effect the insurance

coverages, limits, and endorsements listed below. When obtaining required insurance under this Agreement and otherwise, PROVIDER agrees to preserve COUNTY's subrogation rights in all such matters that may arise that are covered by PROVIDER's insurance. Neither these requirements nor the COUNTY's review or acceptance of PROVIDER's certificates of insurance is intended to limit or qualify the liabilities or obligations assumed by the PROVIDER under this Agreement. The County expressly reserves the right to require higher or lower insurance limits where County deems necessary.

1. Commercial General Liability.

PROVIDER agrees to maintain Commercial General Liability insurance at a limit of not less than \$1,000,000 per occurrence. Coverage shall include, but not be limited to, Bodily Injury and Property Damage to Third Parties, Contractual Liability, Personal Injury and Advertising Injury Liability, Premises-Operations, Independent PROVIDERs and Subcontractors, and Fire Legal Liability. The policy shall not exclude Explosion, Collapse, and Underground Property Damage Liability Coverage. The policy shall cover bodily injury and property damage liability, owned and non-owned equipment, blanket contractual liability, completed operations.

2. Professional Liability Insurance.

If PROVIDER renders professional services (such as medical, architectural or engineering services) under this Agreement, then PROVIDER shall provide and maintain two million dollars (\$2,000,000.00) of professional liability insurance. If such policy is a "claims made" policy, all renewals during the life of the Agreement shall include "prior acts coverage" covering at all times all claims made with respect to PROVIDER's work performed under the Agreement. This Professional Liability coverage must be kept in force for a period of six (6) years after the services have been accepted by COUNTY

3. Commercial/Business Automobile Liability Insurance.

If applicable to the services covered by this Agreement, PROVIDER shall provide and maintain commercial general liability and automobile liability insurance at a limit of not less than \$1,000,000 per occurrence. Coverage for commercial general liability and automobile liability insurance shall, at a minimum, be at least as broad as Insurance Services Office ("ISO") Commercial General Liability Coverage (Occurrence Form CG 0001) and ISO Business Auto Coverage (Form CA 0001), covering Symbol 1 (any vehicle).

4. Environmental Impairment (Pollution) Liability

If PROVIDER will be transporting waste or will be disposing of waste or products under this Agreement, then PROVIDER agrees to maintain Environmental Impairment (Pollution) Liability insurance at a limit of not less than \$1,000,000 per occurrence for bodily injury, property damage, and environmental cleanup costs caused by pollution conditions, both sudden and non-sudden. This requirement can be satisfied by either a separate environmental liability policy or through a modification to the Commercial General Liability policy. Evidence of either must be provided.

5. Workers' Compensation.

PROVIDER agrees to maintain Workers Compensation insurance at Wisconsin statutory limits.

6. Umbrella or Excess Liability.

PROVIDER may satisfy the minimum liability limits required above for Commercial General Liability and Business Auto Liability under an Umbrella or Excess Liability policy. There is no minimum Per Occurrence limit of liability under the Umbrella or Excess Liability; however, the Annual Aggregate limit shall not be less than the highest "Each Occurrence" limit for the Commercial General Liability and Business Auto Liability. PROVIDER agrees to list DANE COUNTY as an "Additional Insured" on its Umbrella or Excess Liability policy.

C. Required provisions.

1. Insurer's Requirement

All of the insurance shall be provided on policy forms and through companies satisfactory to COUNTY, and shall have a minimum AM Best's rating of A- VIII

2. Additional Insured.

COUNTY, its elected and appointed officials, officers, employees or authorized representatives or volunteers are to be given additional insured status (via ISO endorsement CG 2010, CG 2033, or insurer's equivalent for general liability coverage) as respects: liability arising out of activities performed by or on behalf of PROVIDER; products and completed operations of PROVIDER; premises occupied or used by PROVIDER; and vehicles owned, leased, hired or borrowed by PROVIDER. The coverage shall contain no special limitations on the scope of protection afforded to COUNTY, its elected and appointed officials, officers, employees or authorized representatives or volunteers. Except for the workers compensation policy, each insurance policy shall contain a waiver of subrogation endorsement in favor of COUNTY.

3. Provider's Insurance Shall be Primary

For any claims related to this Agreement, PROVIDER's insurance shall be primary insurance with respect to COUNTY, its elected and appointed officials, officers, employees or authorized representatives or volunteers. Any insurance, self-insurance, or other coverage maintained by COUNTY, its elected and appointed officers, officials, employees or authorized representatives or volunteers shall not contribute to the primary insurance. PROVIDER's insurance shall apply separately to each insured against whom claim is made or suit is brought, except with respect to the limits of the insurer's liability

4. Cancellation Notice

Each insurance policy required by this Agreement shall state, or be endorsed so as to the state, that coverage shall not be canceled by the insurance carrier or the PROVIDER, except after sixty (60) days (ten (10) days for non-payment of premium) prior written notice by U.S. mail has been given to COUNTY.

5. Evidences of Insurance.

Prior to execution of the Agreement, PROVIDER shall file with COUNTY a certificate of insurance (Accord Form 25-S or equivalent) signed by the insurer's representative evidencing the coverage required by this Agreement. Such evidence shall include an additional insured endorsement signed by the insurer's representative. Such evidence shall also include confirmation that coverage includes or has been modified to include all required provisions as detailed herein.

6. Sub-Contractors.

In the event that PROVIDER employs sub-contractors as part of this Agreement, it shall be the PROVIDER's responsibility to require and confirm that each sub-contractor meets the minimum insurance requirements specified above.

- D. The parties do hereby expressly agree that COUNTY, acting at its sole option and through its Risk Manager, may waive any and all requirements contained in this Agreement, such waiver to be in writing only. Such waiver may include or be limited to a reduction in the amount of coverage required above. The extent of waiver shall be determined solely by COUNTY's Risk Manager taking into account the nature of the work and other factors relevant to COUNTY's exposure, if any, under this Agreement.

**IX. NO WAIVER BY PAYMENT OR ACCEPTANCE:**

In no event shall the making of any payment or acceptance of any service or product required by this Agreement constitute or be construed as a waiver by COUNTY of any breach of the covenants of this Agreement or a waiver of any default of PROVIDER and the making of any such payment or acceptance of any such service or product by COUNTY while any such default or breach shall exist shall in no way impair or prejudice the right of COUNTY with respect to recovery of damages or other remedy as a result of such breach or default.



**X. NON-DISCRIMINATION:**

During the term of this Agreement, PROVIDER agrees not to discriminate on the basis of age, race, ethnicity, religion, color, gender, disability, marital status, sexual orientation, national origin, cultural differences, ancestry, physical appearance, arrest record or conviction record, military participation or membership in the national guard, state defense force or any other reserve component of the military forces of the United States, or political beliefs against any person, whether a recipient of services (actual or potential) or an employee or applicant for employment. Such equal opportunity shall include but not be limited to the following: employment, upgrading, demotion, transfer, recruitment, advertising, layoff, termination, training, rates of pay, and any other form of compensation or level of service(s). PROVIDER agrees to post in conspicuous places, available to all employees, service recipients and applicants for employment and services, notices setting forth the provisions of this paragraph. The listing of prohibited bases for discrimination shall not be construed to amend in any fashion state or federal law setting forth additional bases, and exceptions shall be permitted only to the extent allowable in state or federal law.

**XI. CIVIL RIGHTS COMPLIANCE:**

- A. If PROVIDER has 20 or more employees and receives \$20,000 in annual contracts with COUNTY, the PROVIDER shall submit to COUNTY a current Civil Rights Compliance Plan (CRC) for Meeting Equal Opportunity Requirements under Title VI of the Civil Rights Act of 1964, Section 504 of the Rehabilitation Act of 1973, Title VI and XVI of the Public Service Health Act, the Age Discrimination Act of 1975, the Omnibus Budget Reconciliation Act of 1981 and Americans with Disabilities Act (ADA) of 1990. PROVIDER shall also file an Affirmative Action (AA) Plan with COUNTY in accordance with the requirements of chapter 19 of the Dane County Code of Ordinances. PROVIDER shall submit a copy of its discrimination complaint form with its CRC/AA Plan. The CRC/AA Plan must be submitted prior to the effective date of this Agreement and failure to do so by said date shall constitute grounds for immediate termination of this Agreement by COUNTY. If an approved plan has been received during the previous CALENDAR year, a plan update is acceptable. The plan may cover a two-year period. Providers who have less than twenty employees, but who receive more than \$20,000 from the COUNTY in annual contracts, may be required to submit a CRC Action Plan to correct any problems discovered as the result of a complaint investigation or other Civil Rights Compliance monitoring efforts set forth herein below. If PROVIDER submits a CRC/AA Plan to a Department of Workforce Development Division or to a Department of Health and Family Services Division that covers the services purchased by COUNTY, a verification of acceptance by the State of PROVIDER's Plan is sufficient.
- B. PROVIDER agrees to comply with the COUNTY's civil rights compliance policies and procedures. PROVIDER agrees to comply with civil rights monitoring reviews performed by the COUNTY, including the examination of records and relevant files maintained by the PROVIDER. PROVIDER agrees to furnish all information and reports required by the COUNTY as they relate to affirmative action and non-discrimination. PROVIDER further agrees to cooperate with COUNTY in developing, implementing, and monitoring corrective action plans that result from any reviews.
- C. PROVIDER shall post the Equal Opportunity Policy, the name of PROVIDER's designated Equal Opportunity Coordinator and the discrimination complaint process in conspicuous places available to applicants and clients of services, applicants for employment and employees. The complaint process will be according to COUNTY's policies and procedures and made available in languages and formats understandable to applicants, clients and employees. PROVIDER shall supply to COUNTY's Contract Compliance Officer upon request a summary document of all client complaints related to perceived discrimination in service delivery. These documents shall include names of the involved persons, nature of the complaints, and a description of any attempts made to achieve complaint resolution.
- D. PROVIDER shall provide copies of all announcements of new employment opportunities to COUNTY's Contract Compliance Officer when such announcements are issued.

- E. If PROVIDER is a government entity having its own compliance plan, PROVIDER'S plan shall govern PROVIDER's activities.

**XII. COMPLIANCE WITH FAIR LABOR STANDARDS:**

A. Reporting of Adverse Findings

During the term of this Agreement, PROVIDER shall report to the County Contract Compliance Officer, within ten (10) days, any allegations to, or findings by the National Labor Relations Board (NLRB) or Wisconsin Employment Relations Commission (WERC) that PROVIDER has violated a statute or regulation regarding labor standards or relations. If an investigation by the Contract Compliance Officer results in a final determination that the matter adversely affects PROVIDER'S responsibilities under this Agreement, and which recommends termination, suspension or cancellation of this agreement, the County may take such action.

B. Appeal Process

PROVIDER may appeal any adverse finding by the Contract Compliance Officer as set forth in Dane County Ordinances Sec. 25.08(20)(c) through (e).

C. Notice Requirement

PROVIDER shall post the following statement in a prominent place visible to employees: "As a condition of receiving and maintaining a contract with Dane County, this employer shall comply with federal, state and all other applicable laws prohibiting retaliation for union organizing."

**XIII. CONTROLLING LAW AND VENUE:**

It is expressly understood and agreed to by the parties hereto that in the event of any disagreement or controversy between the parties, Wisconsin law shall be controlling. Venue for any legal proceedings shall be in the Dane County Circuit Court.

**XIV. FINANCIAL INTEREST PROHIBITED:**

Under s. 946.13, Wis. Stats. COUNTY employees and officials are prohibited from holding a private pecuniary interest, direct or indirect, in any public contract. By executing this Agreement, each party represents that it has no knowledge of a COUNTY employee or official involved in the making or performance of the Agreement that has a private pecuniary interest therein. It is expressly understood and agreed that any subsequent finding of a violation of s. 946.13, Wis. Stat. may result in this Agreement being voided at the discretion of the COUNTY.

**XV. LIMITATION OF AGREEMENT:**

This Agreement is intended to be an agreement solely between the parties hereto and for their benefit only. No part of this Agreement shall be construed to add to, supplement, amend, abridge or repeal existing duties, rights, benefits or privileges of any third party or parties, including but not limited to employees of either of the parties.

**XVI. ENTIRE AGREEMENT:**

The entire agreement of the parties is contained herein and this Agreement supersedes any and all oral agreements and negotiations between the parties relating to the subject matter hereof. The parties expressly agree that this Agreement shall not be amended in any fashion except in writing, executed by both parties.

**XVII. COUNTERPARTS:**

The parties may evidence their agreement to the foregoing upon one or several counterparts of this instrument, which together shall constitute a single instrument.

**XVIII. CONSTRUCTION:**

This Agreement shall not be construed against the drafter.

**XIX. COPIES VALID:**

This Agreement, and any amendment or addendum relating to it, may be executed and transmitted to any other party by legible facsimile reproduction or by scanned legible electronic

PDF copy, and utilized in all respects as, an original, wet-inked manually executed document. Further, this Agreement and any amendment or addendum thereto, may be stored and reproduced by each party electronically, photographically, by photocopy or other similar process, and each party may at its option destroy any original document so reproduced. All parties hereto stipulate that any such legible reproduction shall be admissible in evidence as the original itself in any judicial, arbitration or administrative proceeding whether or not the original is in existence and whether or not such reproduction was made by each party in the regular course of business. This term does not apply to the service of notices under this Agreement.

**XX. REGISTERED AGENT:**

PROVIDER warrants that it has complied with all necessary requirements to do business in the State of Wisconsin, that the persons executing this Agreement on its behalf are authorized to do so, and, if a corporation, that the name and address of PROVIDER's registered agent is as set forth opposite the heading REGISTERED AGENT on page 1 of this Agreement. PROVIDER shall notify COUNTY immediately, in writing, of any change in its registered agent, his or her address, and PROVIDER's legal status. For a partnership, the term 'registered agent' shall mean a general partner.

**XXI. DEBARMENT:**

By signing this Contract, PROVIDER attests that it is not debarred from participating in federal procurements. COUNTY reserves the right to cancel this Contract if PROVIDER is presently, or is in the future, on the list of parties excluded from federal procurements.

**XXII. EXECUTION:**

- A. The parties agree that execution of this document may be made by electronic signatures. The parties may make electronic signatures by typing the name of the authorized signature followed by the words, "electronically signed" or by any other electronic means representing an authorized signature by PROVIDER. PROVIDER shall ensure that only authorized persons may affix electronic signatures to this Agreement and COUNTY may rely that the electronic signature provided by PROVIDER is authentic.
- B. This Agreement has no effect until signed by both parties. The submission of this Agreement to PROVIDER for examination does not constitute an offer. PROVIDER warrants that the persons executing this Agreement on its behalf are authorized to do so.

**IN WITNESS WHEREOF**, COUNTY and PROVIDER, by their respective authorized agents, have caused this Agreement and its Schedules to be executed, effective as of the date by which all parties hereto have affixed their respective signatures, as indicated below.

**FOR PROVIDER:**

Gary Heinze  
Gary Heinze (Oct 2, 2023 11:49 EDT)

Oct 2, 2023

Gary Heinze Chairman of the Board  
Print name and title of signer

Date

\_\_\_\_\_  
Print name and title of signer

Date

\* \* \*

**FOR COUNTY:**

\_\_\_\_\_  
Joseph T. Parisi  
Dane County Executive

Date

\_\_\_\_\_  
Scott McDonell  
Dane County Clerk

Date

## **SCHEDULE A**

## SOFTWARE AS A SERVICE AGREEMENT

This Software as a Service Agreement (hereinafter referred to as “Agreement” or “SaaS Agreement”) is made and entered when fully executed by signatures of both parties (“Effective Date”) by and between Northwoods Consulting Partners, Inc., an Ohio corporation with its principal offices at 5200 Rings Road, Dublin, Ohio 43017, USA, (hereinafter referred to as “Northwoods”), and Dane County, Wisconsin (hereinafter referred to as “You” “Your” or “User”).

- 1) **Definitions.** As used in this Agreement, the following definitions apply to capitalized terms:
  - a) “Aggregate/Anonymous Data” means: (i) data generated by aggregating Your Data with other data so that the results are non-personally identifiable with respect to You or your customers; and (ii) anonymous learning, logs, and data regarding the use of the Services.
  - b) “Application” means the application program Traverse, with the functionality described in the Documentation, including modifications, revisions, upgrades, updates, and enhancements, if any.
  - c) “Charges” means the amounts to be paid by You for the right to use any of the applicable Application, Software, Services and/or hardware or other Third Party Products under the terms of this Agreement. The Charges are described in Attachment A and the payment schedule for these Charges are defined in Schedule B.
  - d) “Documentation” means Northwoods’ and any Third Party electronic user guides, documentation, and help and training materials, as updated from time to time.
  - e) “Monthly Active User” or “MAU” means the number of individuals who are authorized by Northwoods to access and login to the Application at least once in a calendar month based upon the terms of the particular subscription plan or pricing tier paid to Northwoods, as further specified in Attachment A.
  - f) “Northwoods Software” means the Application, as well as any other proprietary, Northwoods-branded, computer programs, in object code form, and their associated documentation.
  - g) “Service Level Agreement” or “SLA” defines the terms under which the Software will be available to You, as defined in Schedule C1.
  - h) “Services” means the professional services that are ordered by and paid by You.
  - i) “Software” means collectively the Application, Northwoods Software, and any Third Party Products.
  - j) “Statement of Work” means the detailed work plan for the initial implementation, attached hereto as Attachment D.
  - k) “Subscription Date” means the later of i) 90 days from Effective Date or ii) when the Child Protective Services unit employees are able to utilize Traverse .
  - l) “Support Services” means the support services to be provided by Northwoods in accordance with Attachment C.
  - m) “Third Party Products” means any product or software program acquired by Northwoods from an outside vendor on Your behalf under the terms of this Agreement.
  - n) “Your Data” means electronic data and information submitted by You or for You to the Services or collected and processed by or for You using the Services.
  - o) “Your Database” means a collection of data records that are maintained as a single logical area that is used, accessed, or acted upon by You.
  
- 2) **Northwoods’ Responsibilities.** Northwoods will (i) make the Software available to You pursuant to this Agreement; (ii) provide Services for the initial implementation of this project, as described more fully in Attachment D; and (iii) provide our Support Services to You, as described more fully in Attachment C.
  
- 3) **Order of Precedence.** In the event there is a conflict between this Agreement and the attached Scope of Work, the terms of this Agreement shall govern.

- 4) Term.
- a) This Agreement commences on the Effective Date and continues until all User Subscriptions granted in accordance with this Agreement have expired or have been terminated.
  - b) *User Subscriptions.* User subscriptions commence on the Subscription Date specified and continue for a period of three (3) years (“Initial Term”). At the end of the Initial Term, the subscription(s) may renew for two optional one (1) year terms upon written approval from the Department of Human Services Director. (“Option Term”)(collectively the “Subscription Term”). Either Party may terminate this Agreement as of the last day of the Initial Term or any Option Term by giving the other Party not less than sixty (60) days’ written notice of termination prior to the last day of the Initial Term, or the last day of any Option Term.
- 5) Initial Implementation. Northwoods will furnish only such staff, materials, supplies, and labor for the initial implementation as detailed in the Statement of Work for this Project. Upon execution by both parties, any subsequent Statement of Work will become part of this Agreement. The Parties may modify the requirements of any Statement of Work through a written change order, and such written change order will become part of the respective Statement of Work when executed by authorized representatives of both parties.
- 6) Delays.
- a) Any unreasonable delay in the project that is the direct result of Your failure to comply with the terms of this Agreement and any of its Attachments may result in Northwoods ceasing work after providing 10 days written notice and will require You to reimburse Northwoods’ reasonable costs incurred as a result of said delay.
- 7) Usage Limits and Compensation.
- a) Generally.
    - i) Usage of the Application is monitored on a continuous basis. Northwoods will determine “excessive usage” based upon average monthly usage during a look back period of 12 months from the date of invoice for the annual subscription fee.
      - (1) “Excessive usage” means that You exceeded 110% (275 users) of the allowable MAUs on average over a 12-month period. Northwoods reserves the right to increase subscription fees for prospective years if You have excessive usage.
      - (2) Northwoods will notify You by the 10<sup>th</sup> of the month immediately following any month you exceed 110% (275 users) of the allowable MAUs.
    - ii) Should You be subject to a subscription increase, Northwoods will make You aware of this increase within ninety (90) days of Your subscription renewal date.
  - b) Year One Usage
    - (1) The annual subscription fee for year two will remain the same as the annual subscription fee for year one unless average usage in the first six (6) months of the first year of the Initial Term exceeds 110% (275 users) of the allowable MAUs.
    - (2) Northwoods will notify You by the 10<sup>th</sup> of the month immediately following any month You exceed 110% (275 users) of the allowable MAUs.
  - c) You may not reduce the committed number of MAUs during the Subscription Term. You are not entitled to any refund of fees paid or relief from fees due if the number of MAUs is actually less than the volume ordered.
  - d) Schedule B indicates the price per year due if You have Excessive usage.
- 8) You acknowledge and understand that the output of the Application is not intended to replace human discretion, decision-making or research, but is to be used as a guidance tool only.

9) Ownership.

- a) Your Data shall be considered confidential information and remains Your sole and exclusive property. Notwithstanding the foregoing, and subject to Section 11 below, You grant Northwoods a limited, revocable, royalty-free license to use Your Data only for the purpose of providing and continually improving and refining the Application. The license grant includes a license to store, transmit, maintain, and display Your Data only to the extent necessary to provide the Application to You.
- b) *Customizations.* Any customization of Northwoods Software specifically for You or at Your request is owned by You, with all rights, title, and interest to such customization being assigned to You. For such customizations, You grant Northwoods a worldwide, non-exclusive, royalty-free, perpetual license to use, modify, and distribute such customization(s) for its own business purposes and for use with other customers.
- c) *Aggregate/Anonymous Data.* You agree that Northwoods will have the right to generate Aggregate/Anonymous Data. Notwithstanding anything to the contrary herein, the Parties agree that Northwoods may use Aggregate/Anonymous Data for any business purpose during or after the term of this Agreement (including without limitation to develop and improve Northwoods' products and services and to create and distribute reports and other materials). Northwoods will not distribute Aggregate/Anonymous Data in a manner that personally identifies You or your customers.
- d) *Feedback.* If You elect to provide any feedback, suggestions, comments, improvements, ideas, or other information to Northwoods regarding the Northwoods Software ("Feedback"), you acknowledge that the Feedback is not confidential and you authorize Northwoods to use that Feedback without restriction and without payment to you. Accordingly, you hereby grant to Northwoods a nonexclusive, royalty-free, fully-paid, perpetual, irrevocable, transferable, and fully sublicensable right to use the Feedback in any manner and for any purpose.

- 10) Privacy. You are aware and agree that Northwoods may, as part of the normal operation and support of the Northwoods Software, collect information related to the use of the Northwoods Software, through tracking and other technologies. Northwoods does so to gather usage statistics and information about the effectiveness of our products for the purpose of improving user experience.

11) Termination.

See Section IV of Main Agreement: Termination.

12) Warranties.

- a) Each party represents and warrants that it has the legal power to enter into this Agreement. Northwoods warrants: (i) the Software will conform in all respects with the applicable Documentation; (ii) Northwoods further represents and warrants that it has all rights required to provide the Software to You and that to the best of Northwoods' knowledge the Software does not infringe upon or violate the United States patent rights of any third party or the copyright or trade secret right of any third party; and (iii) the functionality of the Software will not be decreased from that available as of the Effective Date.
- b) If any modifications, additions, or alterations of any kind or nature are made to the Software by You or anyone acting with Your consent or under Your direction, all warranties will immediately terminate.
- c) NORTHWOODS HEREBY DISCLAIMS ALL OTHER WARRANTIES AND CONDITIONS, WHETHER EXPRESS, IMPLIED OR STATUTORY, WHETHER IN RELATION TO THE SOFTWARE, HARDWARE, OR THE PROVISION OF ANY SERVICES INCLUDING, BUT NOT LIMITED TO, ANY IMPLIED WARRANTIES, DUTIES OR CONDITIONS OF MERCHANTABILITY, OF FITNESS FOR A PARTICULAR PURPOSE OR ARISING BY TRADE USAGE OR COURSE OF DEALING.





- 
- 13) Limitation of Liability. IN NO EVENT WILL NORTHWOODS' AGGREGATE LIABILITY ARISING OUT OF OR RELATED TO THIS AGREEMENT EXCEED THE INSURANCE LIMIT SET FORTH IN SECTION 14 BELOW.
- 14) Indemnification.  
See Section VIII of the Main Agreement: Insurance.
- 15) Confidentiality.
- a) Each party (including its employees and agents) will use the same standard of care, but in no event less than reasonable care, that it uses to protect any confidential information of the other party that is disclosed during negotiation or performance of this Agreement.
  - b) You will take adequate steps and security precautions to prevent unauthorized disclosure of information which is proprietary to Northwoods and/or the owner of the Third Party Products. This includes but is not limited to: (i) instructing Your employees that have access to such information not to copy or duplicate the same or any part thereof and to withhold disclosure or access or reference thereto from unauthorized third parties; and (ii) maintaining proper control of passwords and security procedures to prevent unauthorized access to Your Database.
- 16) Notices. All official notifications, including but not limited to, termination of this Agreement must be sent to the other Party's authorized representative as indicated in the signature line. All notices required under this Agreement will be in writing and deemed delivered upon: (1) personal delivery; (2) three (3) days subject to being posted with the U.S. registered or certified mail, return receipt requested; or (3) two (2) days after deposit with a commercial express air courier specifying next day delivery, with verification of receipt.
- 17) Neither Party shall assign this Agreement (or assign any right or delegate any obligation contained herein whether such assignment is of service, of payment or otherwise) without the prior written consent of the other Party hereto. Any such assignment without the prior written consent of the other Party hereto shall be void.
- 18) This Agreement shall be binding upon all parties hereto and upon their respective heirs, executors, administrators, successors, and permitted assigns.
- 19) This Agreement shall not be modified in any manner except by an instrument, in writing, executed by all parties to this Agreement.
- 20) This Agreement and any claim, action, suit, proceeding, or dispute arising out of this Agreement shall in all respects be governed by, and interpreted in accordance with, the substantive laws of the State of Wisconsin without regard to its conflicts of laws provisions. Venue and jurisdiction for any action, suit, or proceeding arising out of this Agreement shall vest exclusively in the federal or state courts of general jurisdiction in Dane County, Wisconsin.
- 21) If any term or provision of this Agreement shall be held invalid or unenforceable, the remainder of this Agreement, or the application of such term or provision to persons or circumstances other than those as to which it is held invalid or unenforceable, shall not be affected thereby and each term and provision of this Agreement shall be valid and enforced to the fullest extent permitted by law.
- 22) Nothing in this Agreement is intended to, or shall be deemed to constitute a partnership, association or joint venture between the parties in the conduct of the provisions of this Agreement. Northwoods shall at all times have the status of an independent contractor.



- 
- 23) If by reason of force majeure either party is unable in whole or in part to act in accordance with this Agreement, the party shall not be deemed in default during the continuance of such inability. The term “force majeure” as used herein shall include without limitation: acts of God; strikes or lockout; acts of public enemies; insurrections; riots; epidemics; lightning; earthquakes; fire; storms; flood; washouts; droughts; arrests; restraint of government and people; civil disturbances; and explosions. Each party, however, shall remedy with all reasonable dispatch any such cause to the extent within its reasonable control which prevents the party from carrying out its obligations contained herein.
- 24) Any waiver by either party of any provision or condition of this contract shall not be construed or deemed to be a waiver of any other provision or condition of this Agreement, nor a waiver of a subsequent breach of the same provision or condition.
- 25) This Agreement may be executed in one or more identical counterparts, each of which shall be deemed an original but all of which together shall constitute but one and the same instrument. This Agreement may also be executed electronically. Delivery of an executed counterpart of this Agreement by either electronic means or by facsimile shall be as effective as a manually executed counterpart.
- 26) This Agreement sets forth the entire agreement of the Parties and supersedes all prior or contemporaneous writings, negotiations, and discussions with respect to the subject matter hereto.

I

ATTACHMENT A

*See Attached*



SCHEDULE B

Payment Terms

DESCRIPTION	AMOUNT DUE
<b>Traverse Subscription (up to 250 Monthly Active Users)</b>	
Year 1 – Due on or before Subscription Date	\$223,080.00
Year 2 – Due on or before anniversary of Subscription Date	\$223,080.00
Year 3 – Due on or before anniversary of Subscription Date	\$223,080.00
Year 4 – Due on or before anniversary of Subscription Date	\$234,234.00
Year 5 – Due on or before anniversary of Subscription Date	\$245,946.00
<b>Professional Services</b>	
30% due upon completion of Startup Phase of the Project	\$55,620.00
40% due upon completion of Child Protective Services unit employees having access to Traverse	\$74,160.00
30% due upon completion of Closeout Phase of the Project	\$55,620.00

DESCRIPTION	AMOUNT DUE
<b>Traverse Subscription (up to 275 Monthly Active Users)*</b>	
Year 1 – Due on or before Subscription Date	\$235,860.00
Year 2 – Due on or before anniversary of Subscription Date	\$235,860.00
Year 3 – Due on or before anniversary of Subscription Date	\$235,860.00
Year 4 – Due on or before anniversary of Subscription Date	\$247,653.00
Year 5 – Due on or before anniversary of Subscription Date	\$260,036.00

\* This is the amount due only if You have Excessive usage as defined in paragraph 7 of the Agreement

## ATTACHMENT B

## Terms of Service

**1) USAGE GRANT:**

- a) Northwoods grants to You, for the Subscription Term, a non-exclusive, non-assignable (except as herein provided), non-transferable, right to access and use, and permit its Users to access and use, the Northwoods Software, in accordance with the Documentation, subject to the specified number of MAUs and solely for use by You in Your ordinary course of business, and only for capturing, storing, processing and accessing Your Data. You shall not make any use of the Northwoods Software in any manner not expressly permitted in this Attachment B.
- b) You acknowledge and understand that the Northwoods Software is available for use only during the term of this Agreement (as defined in the Software as a Service Agreement).
- c) You agree: (1) not to remove any Northwoods' notices in the Northwoods Software or Documentation; (2) not to sell, transfer, rent, distribute, make available, lease or sub-license the Software or Documentation to any third party; (3) not to alter or modify the Northwoods Software or Documentation; (4) attempt to gain unauthorized access to the Software or its related systems or networks; (5) not to reverse engineer, disassemble, decompile or attempt to derive source code from the Northwoods Software; and (6) not to prepare derivative works from the Northwoods Software or Documentation.
- d) You may not assign, transfer or sublicense all or part of Your rights without the prior written consent of Northwoods; provided that Northwoods agrees that such consent shall not be unreasonably withheld in the case of any assignment by You of Your rights in their entirety to the surviving entity of any merger or consolidation or to any purchaser of substantially all of Your assets that assumes in writing all of Your obligations and duties under this Attachment B.
- e) The Northwoods Software may be bundled with software owned by third parties. Such third party software is available for use solely within the Northwoods Software and is not to be used on a stand-alone basis. Notwithstanding the above, You acknowledge that the Northwoods Software may include open source software governed by an open source license, in which case the open source license may grant you additional rights to such open source software.

**2) OWNERSHIP:**

- a) Notwithstanding the ownership of any customization made to the Northwoods Software for User or at User's request, Northwoods and its licensors retain all right, title, and interest in and to the Northwoods Software and related documentation and materials, including, without limitation, any and all worldwide copyrights, patents, trade secrets, trademarks and proprietary and confidential information rights in or associated with the Northwoods Software. The Northwoods Software is protected by copyright laws and international copyright treaties, as well as other intellectual property laws and treaties. No ownership rights in the Northwoods Software are transferred to You. You agree that nothing in this Agreement or associated documents gives You any right, title or interest in the Northwoods Software, except for the limited express rights granted herein.
- b) You (i) are responsible for the accuracy, quality, and legality of Your Data and the means by which You acquired Your Data, (ii) Your use of Your Data with the Software; and (iii) must use commercially reasonable efforts to prevent unauthorized access to or use of the Northwoods Software and notify Northwoods promptly of any such unauthorized access or use.



---

3) **CUSTOMER RESPONSIBILITIES:**

- a) In order to use the Northwoods Software, You must have or must obtain access to the internet, either directly or through devices that access Web-based Content. You must also provide all equipment necessary to make (and maintain) such connection to the internet.
- b) You agree to provide at least one (1) "System Administrator" responsible for the administration, supervision and management of the Software.
- c) You will provide and assign a unique password and user names to each authorized user. You acknowledge and agree that You are prohibited from sharing passwords and or user names with unauthorized users. You will be responsible for the confidentiality and use of Your (including Your employees') passwords and user names. You agree to notify Northwoods if You become aware of any loss or theft or unauthorized use of any of Your passwords, user names, and/or account number.



ATTACHMENT C

Ongoing Support

**SUPPORT CENTER ACCESS**

Ongoing support services are provided via Northwoods Support Center and generally will be available during the hours of 7:00 a.m. to 5:00 p.m., in the applicable time zone for the User, Monday through Friday, excluding Northwoods’ holidays, or as otherwise provided by Northwoods to its end users in the normal course of its business, either by telephone or Northwoods Customer Portal, in accordance with the severity levels described below.

**ESCALATION / SEVERITY LEVELS**

Issues will be generally categorized and handled according to an assigned severity level, as follows:

Severity Level	Description and Examples
Level 1 – High	Critical production issue affecting all users, including system unavailability and data integrity issues with no workaround available
Level 2 – Medium	System performance issue or bug affecting some but not all users. Short-term workaround is available, but not scalable
Level 3 – Low	Inquiry regarding a routine technical issue; information requested on application capabilities, navigation, installation or configuration; bug affecting a small number of users. Reasonable workaround available. Resolution required as soon as reasonably practicable

For Severity Level 1 issues, Users must call the Support Center.

For Severity Levels 2 and 3, Users should submit cases over the Web via the Northwoods Customer Portal.

Upon case submission, Users will be asked to provide their organization name, contact information and case details, and each case will be assigned a unique case number. A Northwoods Representative will use commercially reasonable efforts to call or e-mail the User within one (1) business day and will use commercially reasonable efforts to promptly resolve each case. Actual resolution time will depend on the nature of the case and the resolution. A resolution may consist of a fix, workaround or other solution in Northwoods’ and County’s reasonable determination. Reproducible errors that cannot promptly be resolved will be escalated to higher support tiers for further investigation and analysis.

**TELEPHONE SUPPORT**

The Telephone Support phone number is 833-323-2637

**SUBMITTING A CASE**



Users may log a case as follows:

1. For Severity Levels 2 and 3 issues, use the Northwoods Customer Portal at <https://portal.teamnorthwoods.com> to click the “New Case” button and provide the requested information.
2. For Severity Level 1 issues, Users must call the Support Center.

### **REPRODUCING ERRORS**

Northwoods must be able to reproduce errors in order to resolve them. Customer agrees to cooperate and work closely with Northwoods to reproduce errors, including conducting diagnostic or troubleshooting activities as reasonably requested and appropriate. Also, subject to Customer's approval on a case-by-case basis, Users may be asked to provide remote access to their account and/or desktop system for troubleshooting purposes.

### **EXCLUSIONS**

Ongoing Support does not include any of the following:

- Assistance with password resets. Users should click the “Don’t remember your password?” link on the login page or contact their system administrator;
- Assistance with username(s). Users should contact their system administrator;
- Assistance with lockouts due to incorrect login attempts. Users should contact their system administrator to unlock the account, or wait for the lockout period to expire;
- Assistance in developing User-specific customizations;
- Assistance with non-Northwoods products, services or technologies, including implementation, administration or use of third-party enabling technologies such as databases, computer networks or communications systems; or
- Assistance with installation or configuration of hardware, including computers, hard drives, networks or printers.

Northwoods is also not responsible for providing, nor obligated to provide, support services under this Agreement if User requested integration services and changes are made to the source data subsequent to Northwoods performing the integration services. This includes, but is not limited to, (i) making changes to the format of the source data; (ii) changing, removing, or introducing new APIs; (iii) changing, removing, or introducing an enterprise service bus; and (iv) changing, removing, or introducing direct database access. Any request by User for Northwoods to support such an instance is available at the sole discretion of Northwoods and Northwoods reserves the right to bill for any such request on a time and materials basis at Northwoods’ then-current rates.

### **DOCUMENTATION AND VIDEOS**

Where applicable, all pertinent product documentation is available through the application’s help feature and/or Northwoods Customer Portal. Fully searchable and regularly updated, product documentation and videos provide customers with specifics around product features, functionality, configurable settings, and product updates.



---

SCHEDULE C1

Service Level Agreement

Service Commitment

This Service Level Agreement (SLA) applies to You because you have contracted for web-based software and/or infrastructure hosting services (“Hosting Services”).

Northwoods will use commercially reasonable efforts to make its Hosting Services available with a monthly System Availability Percentage (defined below) of at least 99.9% (“Service Commitment”).

Definitions

“System Availability Percentage” is calculated by subtracting from 100% the percentage of minutes during the month in which the Hosting Services were Unavailable to You. System Availability Percentage measurements exclude downtime resulting directly or indirectly from any Hosting Services Exclusion (defined below).

“Scheduled Downtime” equals the aggregate total of all minutes of planned and scheduled maintenance performed during the month to perform any necessary hardware, operating system, network, database, application software maintenance, repair, upgrades, and updates. Northwoods will work with You to determine and use commercially reasonable efforts to schedule any such downtime after regular business hours, during times that minimize the disruption to operations. The amount of Scheduled Downtime may vary from month to month depending on the level of change to the system.

“Unavailable” and “Unavailability” mean all of your running instances have no external connectivity.

Service Credits

Service credits are calculated as a percentage of the total charges paid by You annually for the Hosting Services, divided by twelve (12) to determine the credit for the month in which the Unavailability occurred.

In the event Northwoods does not meet the Service Commitment, You may be eligible to receive a 10% service credit. Northwoods will apply any such service credit only against future Hosting Services payments otherwise due from You. Service credits will not entitle You to any refund or other payment from Northwoods. Service credits may not be transferred or applied to any other account You may have with Northwoods.

Credit Request and Payment Procedures

To receive a service credit, You must submit a claim by contacting the Northwoods Support Center. To be eligible, the credit request must be received by us by the end of the calendar month after which the incident occurred and must include:

- The words “SLA Credit Request” in the subject line;
- The dates and times of each Unavailability incident that you are claiming;
- Your request logs that document the errors and corroborate your claimed outage.

If the System Availability Percentage of such request is confirmed by Northwoods and is less than the Service Commitment, then Northwoods will issue the service credit to You and will apply such credit against your next annual invoice for Hosting Services. Your failure to provide the request and other information as required above will disqualify You from receiving a service credit.

Hosting Services Exclusions



---

The Service Commitment does not apply to any Unavailability, suspension, or termination of Hosting Services: (i) caused by factors outside of our reasonable control, include any force majeure event or internet access or related problems beyond the demarcation point of the hosting data center; (ii) that result from any actions or inactions of You or a third party, including failure to acknowledge a recovery volume; (iii) that result from Your equipment, software, or other technology and/or third party equipment, software or other technology (other than third party equipment within our direct control); or (iv) that are due to any Scheduled Downtime (collectively, the “Hosting Services Exclusions”). If availability is impacted by factors others than those used in our System Availability Percentage calculation, then we may issue a service credit considering such factors at our discretion.

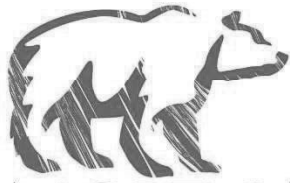


---

ATTACHMENT D

Statement of Work

*See Attachment*



**NORTHWOODS®**

# Attachment D: Statement of Work

## Traverse Implementation Project

**Presented to**

Dane County, Wisconsin  
Department of Human Services

**Document Version**

Version 4.0

**Date Submitted**

September 13, 2023



## Copyright and Trademark Notice

Copyright © Northwoods Consulting Partners, Inc. All rights reserved.

Northwoods, the Northwoods Bear Logo, Traverse, CoPilot, and Compass are all registered trademarks and service marks of Northwoods Consulting Partners, Inc. Rather than repeat the trademark and service mark attributions throughout this document, Northwoods hereby asserts its rights for all of its products and services.

All other trademarks and service marks are the property of their respective owners. Unless stated to the contrary, no association with any other company or product is intended nor inferred.



# Table of Contents

**Purpose** ..... 1

**Project Scope** ..... 2

    Deliverables ..... 2

    Northwoods Project Team Roles ..... 2

    Dane DHS Key Project Team Roles ..... 3

**Work Activities** ..... 5

    Project Planning and Management ..... 5

    Coach Development ..... 6

    Server Environment ..... 8

    Business Process Review ..... 8

    Taxonomy Development ..... 9

    Electronic Forms Design ..... 9

    Client Hardware Deployment ..... 10

    Client Software Deployment ..... 10

    ETL Configuration ..... 11

    ETL Review ..... 11

    Training and Implementation Support ..... 12

        Training ..... 12

        Implementation Support ..... 13

        Training and Implementation Support Phases ..... 13

**Work Requirements** ..... 14

    Phase 0: All Project Phases ..... 14

    Phase 1: Startup ..... 14

    Phase 2: Design ..... 16

    Phase 3: Test ..... 18

    Phase 4: Deploy ..... 19

    Phase 5: Closeout ..... 20

    Location and Hours of Work ..... 21

    Project Acceptance ..... 21



---

Project Assumptions .....	22
<b>Appendix A: Change Management.....</b>	<b>A-1</b>
Change Control Process .....	A-1
Identification.....	A-2
Evaluation.....	A-2
Management.....	A-3
<b>Appendix B: Deliverable Review Procedures.....</b>	<b>B-1</b>
Review Methods.....	B-1
Formal Evaluation .....	B-1
Functional Review .....	B-2
Walk-Through Inspection.....	B-3
Acceptance Log.....	B-4
Timeliness.....	B-4
<b>Appendix C: Deliverable Acceptance Criteria .....</b>	<b>C-1</b>



## 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.<sup>1</sup>

---

<sup>1</sup> 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
<b>Project Manager</b>	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.
<b>Solution Analyst</b>	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.
<b>Solution Architect</b>	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).
<b>Forms Design Team</b>	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
<b>Project Manager</b>	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.
<b>Head Coach</b>	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
<b>Assistant Coach</b>	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.
<b>IT Lead</b>	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.
<b>Subject Matter Experts</b>	Responsible for participating in business process reviews with Northwoods staff, as well as other identified activities.
<b>System Administrators</b>	Responsible for system administration activities, including maintaining user accounts within Traverse.



## 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**
  - Establish, review, and communicate project events and deadlines throughout the duration of the project
- **Change Management**
  - Track and monitor change requests for anything affecting scope, time, or cost for the project
  - Identify and process in-scope and out-of-scope requests
- **Communications Management**
  - Provide project status updates and communication
  - Use appropriate communication channels to ensure visibility and cooperation by communicating status and relevant news about the project to key stakeholders
  - Provide regular status reports to the Dane DHS Project Manager and key customer stakeholders
- **Deliverable Management**
  - Facilitate the configuration and implementation of project deliverables and deliverable review procedures
- **Issue and Risk Management**
  - Assign issues to team members for resolution and/or follow up
  - Assign a rank to risks identifying the likelihood and severity of a risk should it happen. Identify methods to mitigate or eliminate the risk
  - Communicate potential risks and issues that may affect the schedule, budget, and/or project deliverables to key stakeholders
  - Identify schedule variance and potential problems
- **Leadership and Decision Support and Prioritization**
  - Identify decision owners and proactively support the project decision-making process



- 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
<p><b>Head Coach</b></p>	<p>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.</p>
<p><b>Assistant Coaches</b></p>	<p>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.</p>

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.<sup>2</sup>

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.

<sup>2</sup> 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<sup>3</sup>:

- 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.

<sup>3</sup> 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 “[ETL Review](#)” 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 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: <ul style="list-style-type: none"> <li>• Outline project goals</li> <li>• Establish roles and responsibilities of team members</li> <li>• Clarify the expectations of all parties</li> <li>• Create a shared commitment toward project success</li> </ul>	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: <ul style="list-style-type: none"> <li>• Identify technical requirements and discuss implementation timelines</li> <li>• Discuss eWiSACWIS technical requirements</li> </ul>	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): <ul style="list-style-type: none"> <li>• Test</li> <li>• Production</li> </ul>	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



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



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.



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: <ul style="list-style-type: none"> <li>• Technical assistance as needed</li> <li>• Appropriate security and network access levels to all required support systems related to the project</li> <li>• Appropriate access levels, procedure documentation, and/or consultation for all supporting systems</li> </ul>
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 " <a href="#">Appendix A: Change Management</a> ".
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 " <a href="#">Appendix A: Change Management</a> ".
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	<p>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:</p> <ul style="list-style-type: none"> <li>• Content connected to a deleted case, and nothing else, will be deleted.</li> <li>• Content connected to a deleted case, and only other person records, will be deleted.</li> <li>• Content connected to a deleted case, and also any other cases, will be retained on those other case pages.</li> </ul> <p>Any change to these business rules will be subject to Change Management, as detailed in "<a href="#">Appendix A: Change Management</a>".</p>
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 " <a href="#">Phase 3: Test</a> ," 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.

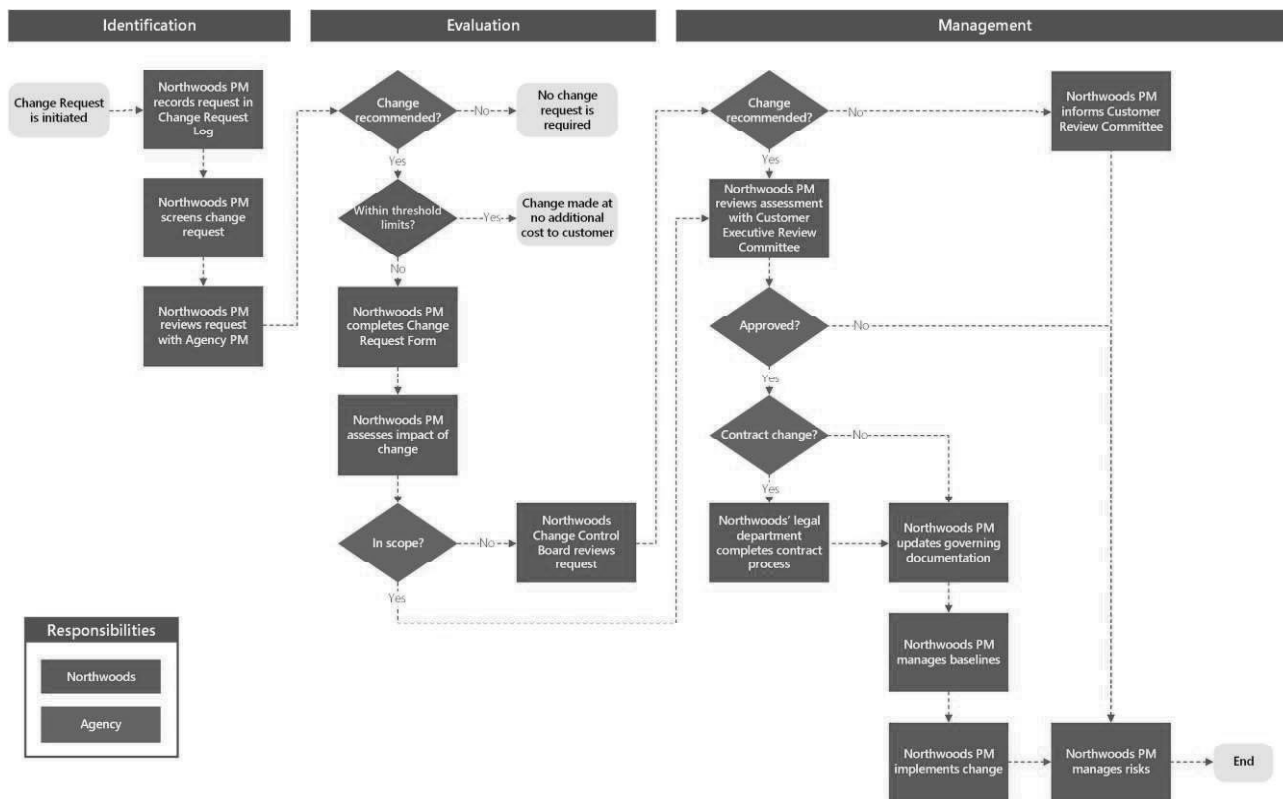
### Change Control Process

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



- 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
<b>Baseline Project Schedule</b>	Defines work breakdown activities associated with developing project deliverables and executing project work.	<p><i>Review Method: Formal Evaluation</i></p> <p>The delivered Project Schedule addresses the following:</p> <ul style="list-style-type: none"> <li>• Deliverable task activities</li> <li>• Estimated start and finish dates for all task activities</li> <li>• Intermediate and terminating milestones</li> <li>• Summary tasks that roll up task activities</li> </ul>
<b>Training Schedule</b>	Establishes when solution training will occur.	<p><i>Review Method: Formal Evaluation</i></p> <p>The delivered Training Schedule details the time, place, and assigned resource(s) for all project-associated training activities.</p>
<b>Client Software Deployment</b>	Includes the deployment of all client-side software by Dane DHS.	<p><i>Review Method: Walk-Through Inspection</i></p> <p>Solution software has been installed in accordance with the "<u>Client Software Deployment</u>" section of this document and is ready for production use.</p>
<b>Business Process Review</b>	Includes the review of defined business processes which are a result of the deployment of the Traverse solution.	<p><i>Review Method: Functional Review</i></p> <p>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.</p>



Deliverable	Description	Acceptance Criteria
<b>SaaS Environment Setup</b>	Includes provisioning the cloud environment(s).	<i>Review Method: Functional Review</i> The SaaS environment(s) have been configured and are ready for production.
<b>ETL Design Document</b>	Details requirements for the following: <ul style="list-style-type: none"> <li>• The development of the ETL process(es) between Compass Pilot, eWiSACWIS, and Traverse</li> <li>• The development of the server environment</li> </ul>	<i>Review Method: Formal Evaluation</i> The delivered ETL Design Document addresses: <ul style="list-style-type: none"> <li>• The fields that will be drawn from eWiSACWIS and Compass Pilot.</li> <li>• Provides case-, client-, and service provider-based information to from eWiSACWIS to Traverse.</li> <li>• Provides content-driven information from Laserfiche and Compass Pilot to Traverse, including client documents from Laserfiche and case narratives from Compass Pilot</li> <li>• Verifies that work requirements in the “<u>Server Environment</u>” section of this document have been completed</li> </ul>
<b>Baseline ETL Configuration</b>	Defines the configuration of the ETL process(es).	<i>Review Method: Functional Review</i> 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.
<b>Taxonomy Development</b>	Details Dane DHS’s taxonomy, which underpins their Traverse solution.	<i>Review Method: Formal Evaluation</i> The taxonomy contains all applicable content types associated with Dane DHS’s business units.



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