

APPENDIX A: STATEMENT OF WORK

1. **Purpose:**

- The purpose of this document is to provide a description of the tasks and duties SDCERA would like to obtain a proposal for its FileNet and Datacap installation. Three pricing models must be provided: 1) Time & Materials (T&M) for all services (hourly), 2) Firm Fixed Price (FFP) for all services (monthly), and 3) Hybrid – FFP for administrative activities and T&M for support activities.

It is at the vendor's discretion if they would like to provide a fourth pricing option.

2. **Detailed Description of Desired Services and Solutions:**

- A. Application Maintenance and Support Services, Remote Administration Services, hours of service, Service Levels, Monthly Reporting (Billing and Activities) and Consulting Services, Other Considerations outlined below.

Application Maintenance and Support Services Include the Following:

- Procure and manage FileNet and Datacap licenses, including annual maintenance renewals.
- Maintain a system for tracking customer incidents / cases, logging all calls, assigning severity, and managing cases from the first call through to resolution.
- Qualify incoming calls, verifying each End User's S&S entitlement.
- Characterize the problem and environment. Conduct failure analysis. Attempt to replicate the problem.
- Isolate the problem using diagnostic utilities provided by IBM.
- Search IBM Support Portal for possible known solutions, using keywords specific error messages, and browse for Fix Packs, Updates or Patches.
- Install IBM approved and supported Fix Packs, Updates or Patches.
- Coordination and ownership of any subsequent joint effort between vendor and IBM to resolve an issue.

- Responsible for all communication with Customer, including setting realistic expectations, providing regular status updates, and confirming next steps in problem investigations.
- Implement solution, workaround, or fix, if needed with prior approval from SDCERA.
- Manage Customer satisfaction issues.
- Log new Support Cases with IBM Software Support.
- For any critical issue escalated to IBM, have resources available to jointly work with IBM until relief can be obtained.
- Weekly conference call and status reports as needed for open incidents.
- Maintain change Control Log of all changes considered along with the relevant details and dispositions.
- Maximize use of the software and tools.

Remote Application Administration Service Includes:

Remote Application Administration Service is defined as an on-going system administration service for one FileNet and one Datacap application environment. The service includes but is not limited to monitoring of system Health, Errors, Growth and Versioning. Verification of system Backup Procedures and application of System Patches.

- Active System health monitoring.
- Monitoring of key system health indicators including background processes, disk space, queue depth, et al.
- Database and Storage growth monitoring.
- Monthly analysis and report on volumes and growth.
- Forecast 3 to 6 months of the impact of growth and any update requirements.
- Assign privileges and permissions to users and perform routine application updates, configuration changes and system modifications.
- Version and patch monitoring.
- Monthly notifications of new releases and patches from IBM when applicable.

- Issue Management Reporting.
- Keep Customer team updated with notifications on issues, resolutions, or comments.
- Coordinate with SDCERA IT Provider and Business Support Team(s) as needed.
- Verify System Backup Procedures and backup success.
- Define, communicate, implement, and manage application backup procedures and best practices.
- Work with SDCERA IT Provider to monitor success of system backup processes.
- Aid in troubleshooting Application issues, collect and record information about application failures in test or production environments by creating a trace log file.
- Assign privileges and permissions to users, groups, and capture stations to an application by using the Web Client.
- Add documents or other objects to an object store and organize them into folders, define custom classes and properties, depending on the needs of the customer.
- Control changes to objects by creating document lifecycle policies and by implementing actions based on object events.
- Create searches and apply batch change operations to the search results.
- Monitor and control object activity by enabling audit logging and setting retention policies as directed. In addition, view object holds, undo object deletion by managing recovery bins, and move objects in bulk between storage areas.
- Control how objects and the related metadata are stored in the Customer's system by determining how data sources will be shared and by defining the object stores and storage areas. When directed, manage the security of objects by creating security policies and configure request forwarding to reduce network traffic.

- Configure the FileNet P8 domain, install add-on features, and export and import objects within or between FileNet P8 domains.
- Access the Job Monitor, run tasks, add users and groups, and configure stations and workflows in DataCap Navigator.
- Configure workflows, jobs, and tasks in the DataCap Web Client or DataCap Navigator web client.
- Configure shortcuts in the DataCap Web Client or DataCap Navigator to run tasks, such as Upload, FixUp, and Verify.
- When directed, set up a batch workflow task to allow a user or station to queue the next task to another user or station.
- When required, define custom columns in the Job Monitor by adding a column in a DataCap Engine database table.
- Maintain change Control Log of all changes considered along with the relevant details and dispositions.

Hours of Service:

Provide standard telephone support services and Incident response between the hours of **6:00 a.m. and 6:00 p.m.** (Pacific Time) Monday through Friday except for holidays normally recognized by both vendor and Customer. Onsite support is based on the Customer’s request and prior approval only.

Service Levels as follows:

a) **Critical**— Critical business impact/Service Down: Business critical functionality is inoperable or critical interface has failed. This usually applies to a production environment and indicates an inability to access services resulting in a critical impact on operations. This condition requires an immediate solution. You must log a Service Down case within 24 hours of first becoming aware that there is a critical business impact, and the Application is not available. You must assist Peraton with any problem diagnosis and resolution.

- **Response Time:** 1-2 business hours

b) **Urgent**— A service, business feature, or function of the service is severely restricted in its use, or you are in jeopardy of missing business deadlines.

- **Response Time:** 3-4 business hours

c) **Important**— The service or functionality is usable, and the issue does not represent a critical impact on operations.

- **Response Time:** 5-16 business hours

Monthly Report (Billing & Activities):

All calls, incidents, and interaction with SDCERA must be included in a monthly report of activity and the monthly billing report delivered in arrears to facilitate proper reconciliation before invoice processing. Details are included in Section 3.

Additionally, the activity report should include system performance statistics, data growth and health monitoring information which can give SDCERA management a broad overview of system health and status and serve as input data to aid in decision making regarding the overall welfare of the system.

Consulting Services:

Provide on-demand consulting services to SDCERA, which are not necessarily related to already defined services. For example, providing information related to the expansion of functionality and use of FileNet and DataCap to meet other business purposes for SDCERA.

During the term of this Agreement, SDCERA also may submit Service Orders for additional services outside of the coverages above. This shall constitute a change order with input from the Customer, Statement of Work (SOW) defining service, will specify the terms, deliverables, the costs, and a project schedule. Written acceptance is required from both parties prior to commencement of work.

Other Considerations:

- A. SDCERA IBM license Management & Subscription costs – invoicing/management
- B. Establishment and management of Change Control reflecting all system changes.

Current SDCERA license and Software List

Qty	Part #	Description
72	E0501LL	IBM FileNet Content Manager Authorized User Value Unit Annual SW Subscription & Support Renewal

5	D0H4PLL	IBM DATACAP TASKMASTER CAPTURE AUTHORIZED USER VALUE UNIT LICENSE + SW SUBSCRIPTION & SUPPORT 12 MONTHS
3	D16RPLL	IBM DATACAP OCCASIONAL AUTHORIZED USER VALUE UNIT LICENSE + SW SUBSCRIPTION & SUPPORT 12 MONTHS
5	D1JZULL	IBM DATACAP INSIGHT EDITION ADD-ON AUTHORIZED USER VALUE UNIT LICENSE + SW SUBSCRIPTION & SUPPORT 12 MONTHS
3	D1JZWLL	IBM DATACAP INSIGHT EDITION ADD-ON OCCASIONAL AUTHORIZED USER VALUE UNIT LICENSE + SW SUBSCRIPTION & SUPPORT 12 MONTHS
1	D16S3LL	IBM DATACAP 1000 EXTERNAL PACK USER VALUE UNIT LICENSE + SW SUBSCRIPTION & SUPPORT 12 MONTHS

3. **Contract Deliverables**

In addition to the activities outlined above, the vendor shall provide the following deliverables.

- **System Documentation:**

Vendor shall maintain a comprehensive change log which details all changes made to the application. If vendor does not have a working format, the vendor shall work with SDCERA Information Technology staff to develop a suitable document.

Vendor shall work with Peraton to keep the Solution Design Document (SDD) current.

- **Monthly Status Reports:**

Reports shall be submitted to SDCERA Information Technology by the 15th of each month and include data through the end of the previous month. If the 15th falls on a weekend or holiday, the report shall be due the following business day. At a minimum, reports shall include the following data sets:

- User Management
 - # user accounts created/updated
 - # user accounts disabled/deleted
 - % user management activities that met or exceeded the SLA

- Hardware Management
 - # user accounts created/updated
 - # user accounts disabled/deleted
 - % user management activities that met or exceeded the SLA
- Incidents
 - Priority level
 - Impacted application (e.g., FileNet vs. Datacap)
 - Description of incident
 - Day and time incident reported
 - Day and time of resolution
 - SDCERA staff member who reported the incident
 - Resources and labor hours needed to resolve the incident
 - Labor hours by resource to resolve the incident
 - Status of incident at the time of the monthly report
 - Total incidents/hours for the month
 - % incidents that met or exceeded the SLA, by priority
- Administrative activities (e.g., software patches)
 - Description of each activity
 - Start and finish dates for each activity
 - Resources and labor hours for each activity
 - Total activities/hours for the month

- **Weekly Status Conference Calls:**

Vendor shall participate in weekly conference calls with SDCERA staff.

- **Monthly Executive Conference Calls:**

Vendor shall participate in a monthly conference call with SDCERA Senior Executive staff.