



Statement of Work

Prepared for: City of Georgetown, TX
May 26th, 2021

Contents

- 1 Project Introduction..... 5
 - 1.1 Document Purpose 5
 - 1.2 Objective 5
 - 1.3 Customer Stakeholders..... 6
- 2 Application Support & Maintenance Services 6
 - 2.1 Incident Management..... 6
 - 2.2 Minor Changes 7
 - 2.3 Release, Change, Deploy & Configuration Management 8
 - 2.4 SLA Management 9
 - 2.5 Batch & Interface Management: 9
 - 2.6 Availability Management 10
 - 2.7 Regression Testing (Optional) 11
- 3 Application Support & Maintenance Organizational Structure..... 12
 - 3.1 Proposed Team Structure 12
 - 3.2 Roles & Responsibilities 12
 - 3.2.1 Service Provider Roles & Responsibilities: 12
 - 3.2.2 Customer Roles & Responsibilities: 14
 - 3.2.3 Proposed Key Persons..... 14
 - 3.3 Project Governance..... 15
 - 3.4 Incident Management..... 15
 - 3.4.1 Incident Management Process: 16
 - 3.5 Change Management..... 17
 - 3.5.1 Change Order Management Process 17
 - 3.5.2 Change Control Process: 19
 - 3.6 Change Management Authorization..... 20
 - 3.7 Release Management 20
 - 3.7.1 Release Management Process: 21
 - 3.8 General Project Assumptions..... 22
- 4 Deliverables..... 23
 - 4.1 Table of Deliverables..... 23
 - 4.2 Acceptance Criteria 23
- 5 Costs and Payment Schedule 25
 - 5.1 Cost 25
 - 5.2 Invoice and Payments 26
 - 5.3 Pricing Schedule 26

5.4	Travel and Expense Guidelines	26
5.4.1	Reimbursement for Travel Expenses	26
5.4.2	Invoicing Travel	28
6	Appendixes.....	29
6.1	Appendix A: RACI Model / Support Coverage.....	29
6.1.1	RACI	29
6.1.2	Support Coverage.....	32
6.2	Appendix B: Services / Integration List	32
6.2.1	Services	32
6.2.2	Integration List	34
6.3	Appendix C: Incident Management Process	35
6.4	Appendix D: Change Management Process	35
6.5	Appendix E: Release Management Process	35
6.6	Appendix F: Standard Catalogue.....	35
7	Approvals	35

1 Project Introduction

1.1 Document Purpose

This **Statement of Work** (the “**SOW**”) and any exhibits, appendices, schedules and attachments, the terms of which are incorporated herein by reference, is entered into by and between the City of Georgetown, TX, (the “**Customer**”) and Itineris NA, Inc (the “**Service Provider**”) on _____ pursuant to the **Framework Agreement** by and between the Customer and the Service Provider dated [May 04th 2016] (the “**Framework Agreement**”), the terms of which are incorporated herein by reference.

The Parties acknowledge and confirm the expiration on Sep 30th 2021 of the Statement of Work entered between the Parties (dated October 31st, 2018) covering the services related to the City of Georgetown Utility Systems (COG) Customer Information System (UMAX CIS) Application Maintenance & Support.

This SOW sets forth the services to be performed by the Service Provider (the “**Services**” as further described herein) related to the City of Georgetown Utility Systems (COG) Customer Information System (UMAX CIS) Application Maintenance & Support (the “**Project**”). Capitalized terms used in this SOW and not separately defined in this SOW, shall have the respective meaning ascribed to such terms in the Framework Agreement. This SOW, in conjunction with the appendixes (including the RACI and interfaces and the matrix) represents the complete baseline for the scope of and the Services to this SOW. All changes to this SOW will be managed in accordance with the Change Management Process defined below.

In the event of conflict between the terms of this SOW and any other Statement of Work related to the Framework Agreement, the scope of each Statement of Work shall be governed by the respective terms and conditions of the relevant Statement of Work.

1.2 Objective

The UMAX CIS in operation is managed by the Customer on a day-to-day basis. The Service Provider will provide Services to assist the Customer to make sure the system remains in a healthy state and to stay current with regards to small changes of business requirements. These Services are additional Services, on top of the services that are included in the Recurring License Fee as described in the License Transaction Agreement in Schedule B (the “**License Transaction Agreement**”) to the **UMAX Software License Terms** (the “**Software License Terms**”).

The Customer strives to provide the best services to their customers minimizing the business interruptions due to failures/releases in UMAX system. It plans to do that by adopting best in class processes and tools to solve, document and eliminate the problems and by taking the Services from the Service Provider.

1.3 Customer Stakeholders

Name		Role	Responsibilities
Leticia Jones	Zavala	Customer Care Director, City of Georgetown Utility Systems	
Cindy Pospisil		Customer Care Manager, City of Georgetown Utility Systems	
Chris Bryce		IT Director, City of Georgetown	
Laurie Brewer		Assistant City Manager, City of Georgetown Utility Systems	

2 Application Support & Maintenance Services

The Service Provider Team will work with the Customer Business and IT Staff in the following domains:

- Incident Management
- Release, Change, Deploy and Configuration Management
- SLA Management
- Batch & Interface management
- Business Assurance – The Services will be rendered from the Service Provider offices. However, part of the Services will be rendered from a customer location, with a maximum of one (1) week/month.

Service Lever Names	In Scope
Incident Management (L2 + L3 Support)	Yes
Minor Enhancements (36 person days in a year)	Yes
Release, Change, Deploy & Config Mgmt (Test)	Yes
Configuration management (Accept & PROD)related to the Incident	Yes
Service Reporting	Yes
Batch & Interface Management	Yes
Business Assurance (5 person days/month)	Yes
Availability Management	Yes
Regression Testing	No
Continuity Management	No
System & Infrastructure management	No

2.1 Incident Management

In addition to the standard Software Support Services delivered as part of the Software License Terms, these additional Services are rendered by the Service Provider to assist the Customer in quick identification and resolution of support issues that arise.

Included activities

Included activities are:

- Access and use of the Service Provider helpdesk tool for designated Customer key-users.
- Propose solutions for support issues, be it additional instructions, configuration changes or code fixes (in non-product software).

- Assist Customer in problem management if issues are part of a larger issue.
- Report on the service status and service performance on monthly basis.
- L2 (2nd Level Support) for support issues.

Service provider will monitor the inflow of tickets on a monthly basis, as well as monitor the average ticket trend on a quarterly basis. Based on ticket analysis and overall operation Customer and Service provider will work together (if needed) to decrease ticket inflows via but not limited to the following:

- Implementing code & configuration changes,
- Delivering knowledge base articles,
- Helping users by responding to how to queries,
- Changing business process or work instruction.

If the average ticket inflows exceed the budgeted ticket volume/month for two (2) subsequent months, Service provider will initiate discussions with Customer to use the contingency amount.

Out of scope activities

Out of scope activities include, but are not limited to:

- Support Services as set out in the relevant Service Level Agreement in Schedule C to the Framework Agreement or the relevant Maintenance and Support Agreement in Schedule E to the Software License Terms.
- Support issues as far as the number of tickets surpasses the maximum amount per month (17) excluding product bug & BA issues.
- Any activities related to Change Management, Release Management, Deployment Management and Configuration Management related to the support issues.
- Support issues that are not related to the UMAX CIS, FO, CSS & Cashiering platform.
- End-user training.

2.2 Minor Changes

The standard scope of minor changes will be governed by the change request raised in service provider's helpdesk tool. A sample version of the change request is attached in Appendix [F] to this SOW. These activities would be managed through a service request in TopDesk Incident Management tool. Each Minor change request item will be assessed by the service provider and will share effort ("person" days) required to implement the changes in PRODUCTION environment. Service Provider will take approval of effort from the Customer before start working on the change

Included activities

Minor changes contained in the sample document (Appendix-F) include, but are not limited to:

- Simple administration
- Change in setups to existing functionality – Price change, new user creations etc.
- Data Manipulation.
- Ad-hoc data request / reports.
- Addition/modification/Deletion of columns.
- "How to" quires.
- Data extract.

Out of scope activities

Out of scope activities include, but are not limited to:

- More than 36-person days of total effort in a SOW year.
- Code changes to implement completely new functionality.
- Changes within the peripheral systems e.g., Paymentus, uCcentra, Esri etc.
- Development of new interfaces.
- Deployment of the configuration changes into the Production Environment.
- Acceptance testing on behalf of users.

Prerequisites and boundaries

- There is a maximum of 36-person days of total effort per SOW year included for minor changes, exceeding requests are new change request (as per section 3.5). The Service Provider will pre-plan the resource capacity for these efforts. The Customer will not be able to carry over the unused efforts from year to year.

2.3 Release, Change, Deploy & Configuration Management

The Service Provider will provide Release, Deploy and Configuration management related activities for the Customer. These Services are geared towards successfully deploying new versions of UMAX, the Customer Self Service, Front Office, and Cashiering on the Production Environment. Although small changes can be made to the UMAX system, this is not the primary goal. Substantial changes as there are interface modifications, upgrades and so on will be handled by a separate request.

Included activities

Included activities are:

- Representation included in the Change Advisory Board (CAB) described in section 3.6 that decides on and finalizes the scope of the upcoming release.
- Coordination of the release activities of the Service Provider & the Customer Personnel.
- Deployment activities of the different components on the different Customer environments
- Testing of delivered packaged product.
- Deployment of the configuration changes into the Accept & Production Environment
- 4 releases in a SOW year

Out of scope activities

Out of scope activities include, but are not limited to:

- Any changes which are not developed & implemented by the Service Provider.
- Changes related to peripheral systems themselves e.g., Esri, uCcentra etc.
- Infrastructure related activities. These are to be performed by the Customer Personnel, working closely with the Service Provider Release Manager.
- Regression testing and acceptance of the release.
- Structural and impacting changes to the Customer version of UMAX.
- Releases as part of upgrades, service packs, new projects or upgrade or changes within the peripheral systems.
- Testing & Data validation as part of upgrades, service packs, new projects or upgrade or changes to peripheral systems.
- Acceptance of the release.

Prerequisites and boundaries

- Designated Service Provider Personnel has access to the Customer systems with appropriate access rights.
- A release calendar for the upcoming twelve (12) months is agreed on and reviewed on a yearly basis.
- Assistance is rendered off-site.

2.4 SLA Management

As part of the Services, the Service Provider reports on a regular basis on the performance of the Services. This report will indicate both ticket volumes and the performance in responding to and resolving of tickets.

Included activities

Included activities are:

- Delivery of a standard service report on a monthly basis.
- Discussion of the service report.
- Common escalation process for all Services rendered by the Service Provider.

Prerequisites and boundaries

- Customer governance and escalation organization is set-up and known.

2.5 Batch & Interface Management:

As part of the regular daily routine, it is necessary to perform several operational validations to ensure that the Solution is functioning as expected. The Service Provider will provide the necessary resources to ensure the technical checks are executed. Any exceptions that are recorded during these checks enter the normal procedure for exception handling.

Included activities

Included activities are:

- Ensure all jobs are completed as per schedule.
- Monitor inbound & outbound interfaces in UMAX.
- Verify all batch jobs & interfaces are executed correctly through an automated process.
- Categorizes exceptions and assign & follow up with Service Provider Team on resolution on UMAX related issues.
- Periodic system reconciliation of different interfaces.
- Send out exception report, if any.

Out of scope activities

Out of scope activities include, but are not limited to:

- Handling business exceptions that are recorded during the validations.
- Business Reconciliation.
- Handling infrastructure related exceptions that are recorded during the validations.
- Biz talk monitoring & operations.

Prerequisites and boundaries

- Designated Service Provider Personnel has access to the Customer systems with appropriate access rights.
- Batch schedule and schedule for other interventions are known to and agreed by the Customer.
- Services are rendered off-site.

2.6 Availability Management

As part of the regular activities, the Service Provider will monitor the performance and availability of the application and database (SQL-Server). The Service provider might use some automated script to monitor application & database health. The Service provider will look after the monitoring results and initiate Incidents and problems wherever there is an issue or even a risk of issue.

Included activities

Included activities are:

- Monitor the performance and availability of the application and database (SQL-Server) in the Production Environment.
- Communication alerts need to be sent when the application and database are not available.
- Leverage available tools to identify areas of poor application/program, database performance (e.g., long running queries, DB growth etc.) and get them addressed.
- Monitor growth and index fragmentation evolutions of DB and launch automated jobs to defragment the indexes.
- Performance and availability exceptions need to be reported, analysed and addressed by the Service Provider Team.
- Coordination with the Customer Infrastructure Team and other Support Teams.
- RCA is required on recurring issues.
- Monthly status & recommendations for improvement, if any.

Out of scope activities

Out of scope activities include, but are not limited to:

- Monitoring performance & availability in the Non-Production Environment.
- Network, VDI, Hardware & OS-level issues.
- Capacity Management.
- Disaster recovery drill.
- Continuity Management.

Prerequisites and boundaries

- Only availability management will be offered with a max of thirty-Six (36) days of effort in a year.

2.7 Regression Testing (Optional)

As part of this activity, the Service Provider will do the regression testing of the application. The service provider will identify the subset of the test cases from the existing regression test cases and will execute them before moving the code to the accept environment to ensure no impact of the changes due to the release.

Included activities

Included activities are:

- Modify the existing regression test cases as and when required due to delivered changes
- Setup and maintain the regression test cases
- Execute the regression testing in TEST environment before deploying the code in the Accept environment
- Resolution of regression issues
- With every release (4 times in a SOW year)

Out of scope activities

Out of scope activities include, but are not limited to:

- Developing new test cases for regression testing
- Regression testing outside release activities

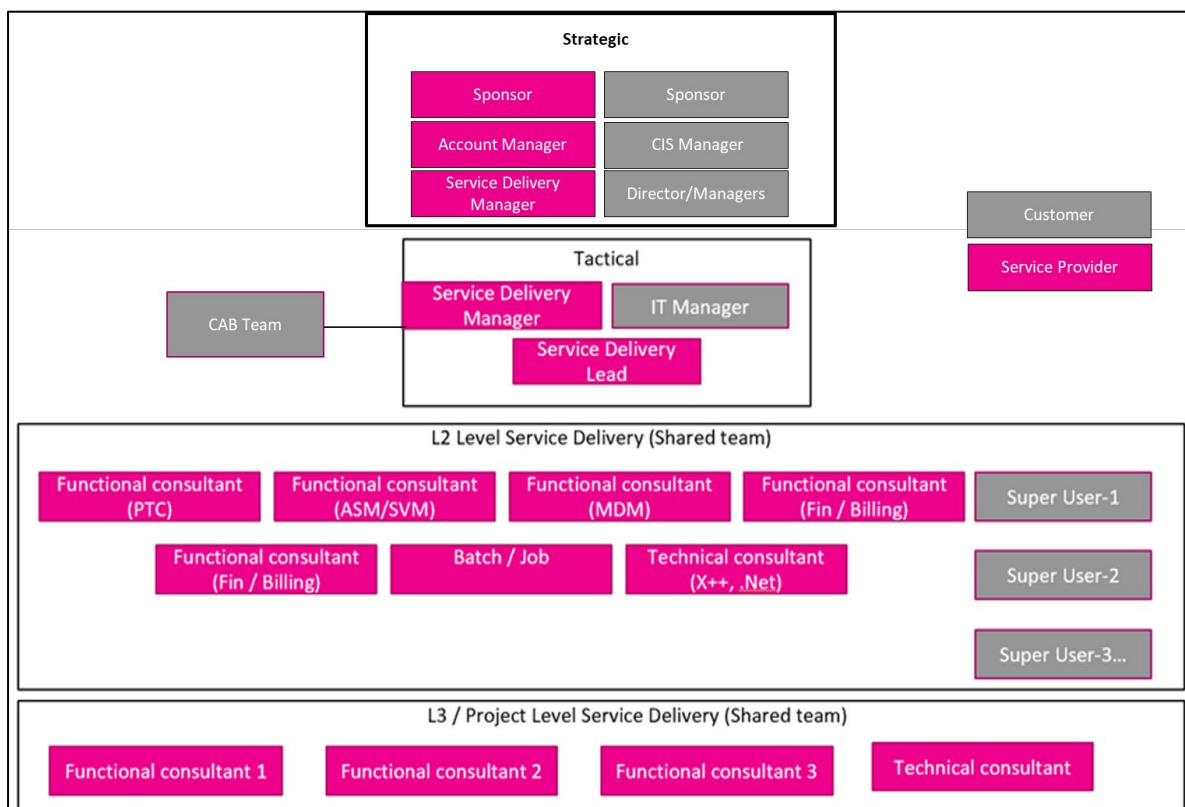
Prerequisites and boundaries

- Itineris staff executing the regression tests will need access to the TEST environment

3 Application Support & Maintenance Organizational Structure

The proposed organizational structure will include a steering committee consisting of Business Executives from both the Service Provider and the Customer, a Senior Manager from the Service Provider and Senior Managers from the impacted departments within the Customer (the “**Steering Committee**”). Other members will be invited as deemed necessary throughout the duration of the SOW depending on the agenda and the then applicable needs.

3.1 Proposed Team Structure



Reporting to the Strategic Committee are the responsibility of the Customer IT Manager and the Service Provider Manager. L2 and L3 Team has its own tasks and responsibilities.

3.2 Roles & Responsibilities

3.2.1 Service Provider Roles & Responsibilities:

Service Role	Provider	Responsibility
Service Delivery Manager (SDM)		<ul style="list-style-type: none"> Manages business expectations, concerns and CTQs, and provides strategic direction. Ensures processes are in place for timely escalation of critical application issues.

Service Role	Provider Responsibility
	<ul style="list-style-type: none"> • Acts as escalation point for unresolved application issues or process failures. • Service Delivery Manager will also decide which services are out of scope and communicate to the customer. • Ensures metrics collection and reporting systems are in place and functioning properly. • Manages overall budget for service delivery.
Service Delivery Lead	<ul style="list-style-type: none"> • Advocates the Service Provider within the Customer organization. • Advocates the Customer’s interests within the Service Provider organization. • Works on a day-to-day basis with the Customer’s lead to resolve issues and to advance service projects (roadmaps). • Issue load balancing, first point of escalation for the Service Delivery Team. • Runs the Change Advisory Boards with the Customer (together with Rel. Manager). • Ensure issue prioritization for all open issues. • Provide functional support on application related issues. • Completes tasks and assignments to the Service Delivery Team. Facilitates issue resolution across domain as required. • Impact analysis and estimation for all changes logged (together with the Service Delivery Team). • Manages small to medium service projects (roadmap). • Ensure new releases going live on Production Environment do not affect the existing businesses. • Manages budget for assigned work. • Drive Root Cause Analysis (RCA) & permanent fix. • Coordinate bug-fix/release activities.
L2 Team	<ul style="list-style-type: none"> • Analyse tickets based on priority. • Reply to business super users and create/update ticket for the issue filling in necessary details. • Respond to ‘how to’ questions. • Assist the user in making a data change on the front end. If the issue requires a backend change (Fix) then work with L3 Team. • Does preliminary testing before releasing the solution for acceptance testing. • Liaison with L3 Team for development of bug & request for changes or minor enhancements using STD Service catalogue. • Determine type of ticket – data, application use, break-fix etc. Resolve or help resolve issue. • Create work-around solution for break-fixes that take a long time to resolve.
L3 Team	<ul style="list-style-type: none"> • Resolve UMAX related bugs.

Service Role	Provider	Responsibility
		<ul style="list-style-type: none"> Assist L2 Team to resolve critical issues. Work on Request For Changes (RFCs) and roadmap projects. Create Functional Design document. Keep L2 Team informed about the new changes in the product.

3.2.2 Customer Roles & Responsibilities:

CUSTOMER Role	Responsibility
Customer Project Manager	<ul style="list-style-type: none"> Provide communication to the entire Customer Business Team relating to the service delivery execution successes and issues. Serve as a one-point contact of the Customer Team. Manages Business expectations, concerns and CTQs, and provides strategic direction. Manages budget for assigned buckets. Review and facilitate approval of Deliverables on timely basis throughout the duration of the Project. Jointly review and monitor progress on issues.
Customer Business Lead/Sponsor	Responsible for stakeholder engagement within the Customer organization to ensure successful delivery of the Project. This role will not be filled by a dedicated Project resource.
Customer Super Users	Provide business functional expertise to define the Business Operating Model that the Solution will satisfy. This will involve key users from: Billing. Finance and other departments as needed.
Customer IT Manager	Responsible for all Customer IT input and approval of Deliverables during the Project.

3.2.3 Proposed Key Persons

Role	Name
Service Delivery Manager	Sailen Deshmukh
Service Delivery Lead	Elizabeth Hughes

3.3 Project Governance

The Project governance is implemented to support the service delivery and allow for efficient and timely communication and decision making to all stakeholder levels both inside and outside of the Service Delivery Team.

The Service Delivery Team Members use a variety of communication methods to deliver Project information, including meetings, telephone calls, email & voicemail etc. The plan acts as a framework and is an evolving document that is revised when appropriate. The communication plan ensures timely and appropriate generation, collection, dissemination, and storage and ultimate disposition of Project information to all stakeholders. The ‘representative’ elements of our communication plan are given below:

Governance Meeting	Frequency	Service Provider’s Presence
Issue review stand-ups	Weekly	Yes
Change Advisory Board	For each release	Yes

Issue review Stand-Ups

The Service Delivery Lead will conduct issue review stand up meetings with the Service Provider and the Customer Team Members bi-weekly to prioritize the issues and to provide the status update on issues.

CAB (Change Advisory Board) Meeting

The Service Provider Project Manager (SDM), Release Manager & Service Delivery Lead will attend weekly CAB meetings to decide on changes and reach agreement on the planning and other characteristics associated with changes.

3.4 Incident Management

All application support Incidents, service requests, changes, problems, and support issues shall be tracked via the Service Provider centralized issue tracking system, TopDesk. All issues shall be tracked via the Service Provider centralized Incident tracking system, TopDesk Incident Module. Application Support Teams monitor assigned TopDesk queues for applications listed in scope based upon coverage hours & criticality.

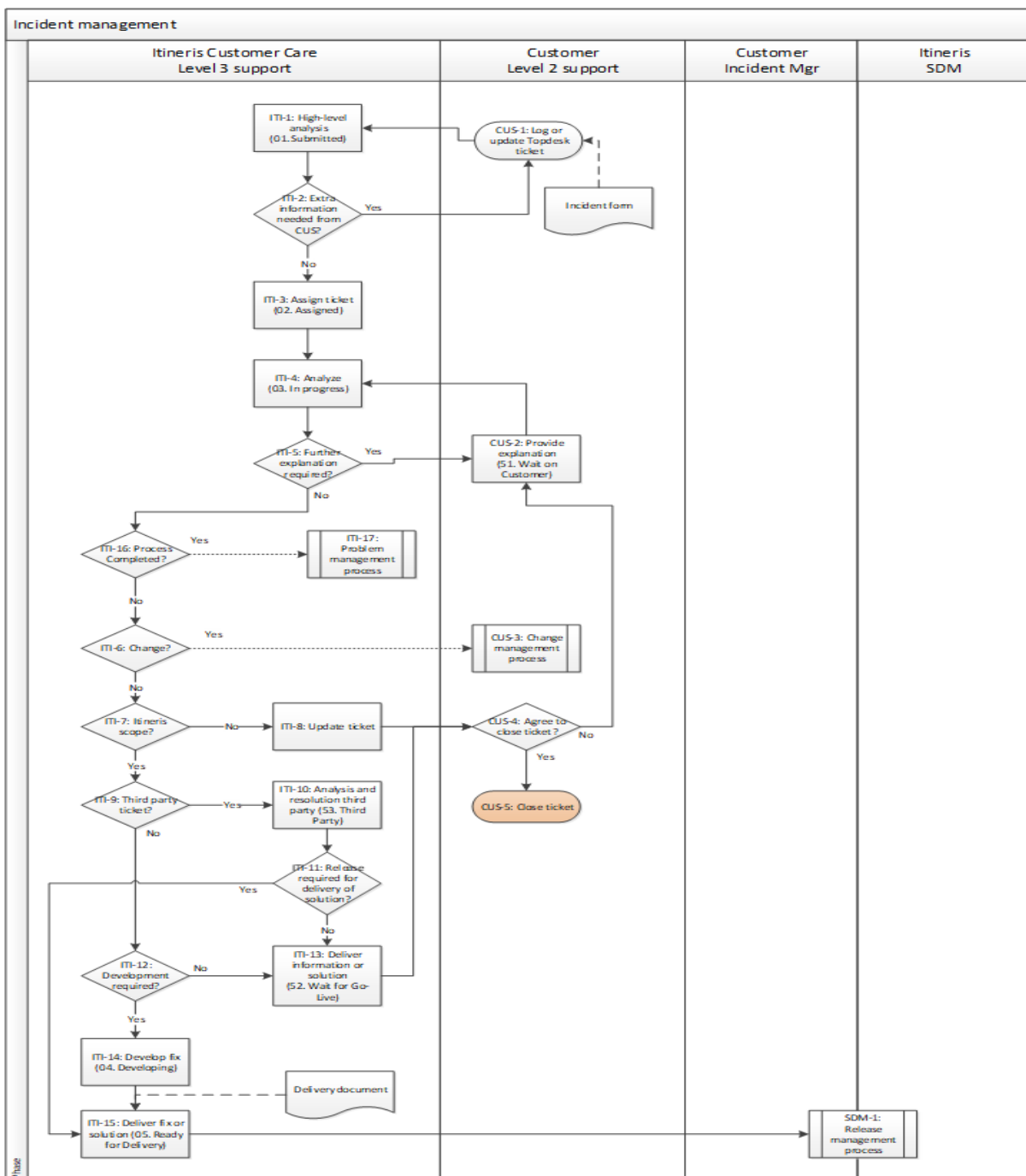
The Incident owner is responsible for ensuring all issue activity is documented within TopDesk including research, findings and all communications (email, phone, skype chat, etc.) with the business user. The intent of Incident notes is to provide a complete history of the activity required to resolve an Incident.

Incident Management shall be given the highest priority, followed by break/fix, service request and enhancement (request for change) work. This mix will vary based on several factors. e.g., break/fix ticket volume and priority, business cycle timing. Unless specifically directed by the Customer IT Manager every Incident will have a higher priority than any RFC. The combination of support activities

will fluctuate based on the needs and the focus of the Customer users. This mix may remain flexible throughout the term of the framework agreement.

3.4.1 Incident Management Process:

The following Incident Management Process ensures that the Incidents are managed effectively during the SOW. The Customer and the Service Provider will use TopDesk to capture the Incidents related to UMAX. Refer to **Appendix C** for the detailed step by step information about the Incident management process flow.



3.5 Change Management

The goal of the Change Management Process is to ensure that (i) standard methods and procedures are used for efficient and prompt handling of all changes and (ii) all changes to UMAX systems are documented for future references.

3.5.1 Change Order Management Process

The purpose of Change Management is to respond to changing business requirements while maximizing value and reducing Incidents, disruption, and rework. The objective of the Change Management Process is to ensure that changes are recorded and then evaluated, authorised, prioritised, planned, tested, implemented, documented, and reviewed in a controlled manner and to take necessary corrective action.

The control of change means the assessment of the impact, the importance and the cost of potential and the determination by management on whether to approve them or not. Any approved changes must be reflected in corresponding release schedule and (potentially) budget.

An approved Contract Change Order (CCO) is required for any scope change to this SOW. No Services or billing will start until approved by the Customer Manager. The CCO effective start date will be the approval date of the Customer Manager or some date in the future.

A change can fall into one of the below three categories.

1. Standard Changes (STD Service Catalogue) :

A standard change is a change to a service or infrastructure for which the approach is pre-authorised by Change Management that has an accepted and established procedure to provide a specific change requirement. It would be dealt with standard STD Service catalogue services. The elements of a standard change include:

- There is a defined catalogue to initiate the request for change.
- The activities/tasks are well known, documented and proven.
- Authority is given in advance (these changes are pre-authorised). OR
- The risk is usually low.

Standard catalogue will be invoked when any one of these four conditions is valid.

2. Normal Changes:

A normal change refers to changes that must follow the complete Change Management Process. These changes will be outside of the STD Service Catalogue services. Normal changes are categorized according to risk and impact to the business. For example, significant change – medium risk and impact and major change – high risk and impact.

By definition a normal change will proceed through all steps of the Change Management Process and those that are categorised as medium or high risk will be reviewed by the Change Advisory Board (CAB). The activities of the normal change process include:

- Identify & Record the request for changes.
- Review the request for changes.
- Prioritize the changes.
- Impact analysis & estimate the effort.
- Approval to develop the changes.
- Authorise to move it to production.
- Implement the change in production. and
- Review & close change record.

After receiving Change Requests, the Service Provider (i) evaluates the impacts to the Software and/or the Solution, and (ii) determines the effort and cost.

The Service Provider reserves the right to request additional information from the Customer in order to respond to the Change Request. The response from the Service Provider must include a Change Quote for the work required to complete the change stating the estimated number of days of effort, an estimated delivery date, and details of the technical approach for the proposed change and the period of validity of the Change Quote (a "**Change Order**").

If a Change Request initiated by the Customer is reasonably considered by the Service Provider to be complex, the Service Provider shall be entitled to charge the Customer the number of days of analysis and cost required to enable the Service Provider to provide the Customer with a Change Quote in respect of that Change Request. The Change Quote should also give detail of the technical approach for the proposed Solution.

The Customer must approve any expenditure in writing, before the Service Provider commences either analysis or development. The Customer shall respond within five (5) Business Days of receipt of a Change Quote from the Service Provider, unless additional approval time is required due to the Customer's statutory requirements. This may be either approval (for the analysis or development to proceed), cancellation or notification that further time shall be required by the Customer to consider the Change Quote. The Customer shall in any event respond with a decision within the validity period of the Change Quote.

Any changes outside the scope of services defined in this SOW would be charged on hourly basis @\$175/hr.

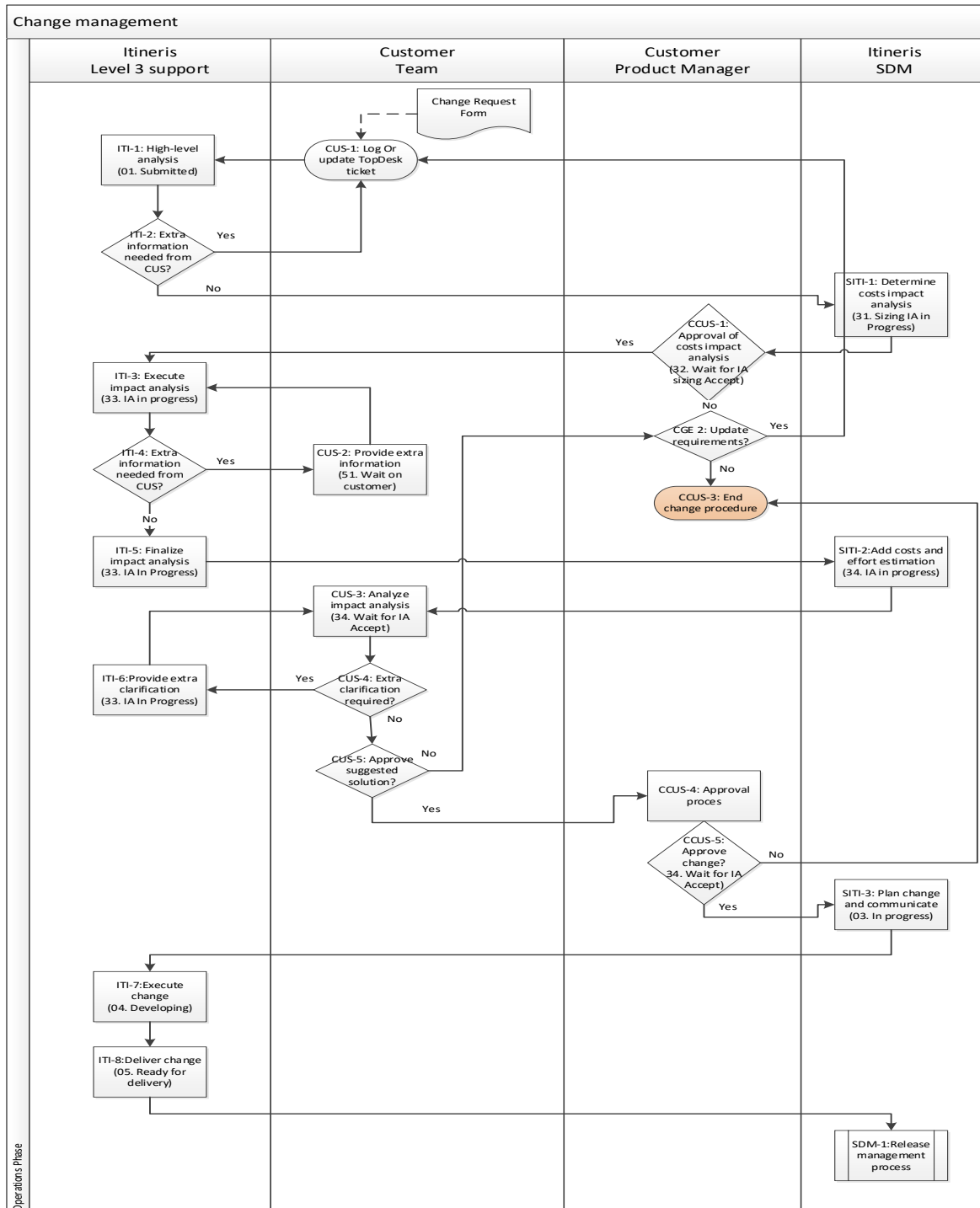
On receipt of a duly signed authorization to proceed, the Service Provider shall supply the Services that are the subject of the request and such Services shall be deemed services in accordance with this day-to-day issue resolution.

3. Emergency Change

An Emergency Change (e.g. a hotfix) is reserved for changes intended to repair an error that is impacting the business to a high degree or to protect the organisation from a threat and that cannot be postponed until the next scheduled release. In case of Emergency Changes, the Service Provider will follow a quicker process to move the changes into the production. Communication is done between the Service Provider Service Delivery Lead and the IT Manager directly, without the need for the written and signed Impact Analysis. Approval for installation of the Emergency Change is obtained by email and registered in the related ticket.

3.5.2 Change Control Process:

The following Change Control Process ensures that changes are managed effectively during the SOW. The Customer and the Service Provider will use TopDesk to capture the request for change.



Refer to **Appendix D** for the detailed step by step information about the Change Management Process flow.

3.6 Change Management Authorization

The following principal authorities from the Customer are involved in the Change Management Process:

- The Change Manager: Change Management Process owner and responsible for filtering, accepting and classifying Change Order (CO's).
 - In addition, the Change Manager is responsible for securing appropriate authorization to implement changes. Appropriate authorization may be provided by the Change Manager or may require calling upon higher management (Steering Group).
- The Change Advisory Board (CAB): Consensus advisory and decision board to decide on changes and reach agreement on the planning and other characteristics associated with changes.
 - The CAB, whose exact composition may differ from one meeting to the other, typically is composed of representatives of all sections, including the Service Provider and representatives of the Customer and user communities.
 - The main tasks involve assessment of required resources to implement changes (also in time), potential conflicts with current operations, safeguarding appropriate transfer and creation of documentation, integration/cross-referencing, impact analysis on existing capacity, etc.

The principal authorities from the Service Provider involved in the Change Management Process are:

- The Release Manager: Release the changes in different environments (Test, Acceptance & Production)
- The Service Delivery Lead (SDL): Working closely with the functional consultants and providing architectural authority to decide upon changes and their impact cross the delivered Solution.
 - Maintaining the functional integrity of the system cross all functional domains.
 - In close relationship with the Service Provider Subject Matter Experts (SME) assessing the functional impact against UMAX.
- The Service Delivery Manager (SDM): Responsible for:
 - guaranteeing proper control on cost and timelines.
 - the Service provider resource allocation both on-site or off-site.
 - escalating timely any outstanding issue to the Customer Change Manager or its coordinators in order to deliver timely both the necessary impact analysis and the Change Request implementation itself.

In order to manage this effectively, the Service Provider has an internal organization and Resource Allocation Management Process whereas the Service Delivery Manager (SDM) takes part in.

3.7 Release Management

The goal of release and Deployment Management is to deploy releases into operation and establish effective use of the Services in order to deliver value to the Customer. The Service Provider needs to

own/manage monthly releases on the applications that are in scope. These releases are classified as Operational Releases.

Operational Releases: All changes arising from the problem management, request for changes and some of the STD catalog enhancements buckets are deployed to production by operational releases. The frequency of releases would depend on various factors, it is safe to assume that one (1) release per month would be reasonable and which can be increased/decreased based on the Customer's needs.

The activities are of the normal operational release process are

- Define the release plan.
- Define the scope of the release.
- Take approval in the CAB.
- Deploy & execute tests on environments.
- Deploy on Production Environment.

3.7.1 Release Management Process:

The following Release Management Process ensures that releases are managed effectively during the SOW. The Customer and the Service Provider will use TopDesk to capture the release scope using major Incident.

4 Deliverables

4.1 Table of Deliverables

The following list of Deliverables will be delivered during the SOW. The responsible Party for each Deliverable are defined below.

Deliverable	Delivery Dates	Approval	Responsible
Ticket resolution using TopDesk	Daily on Business Days	Customer	Service Provider
Releases & Deployment <ul style="list-style-type: none"> Release plan Scope document Testing instruction Deploying the code in different environments Release notes 	Monthly	Customer	Service Provider
Engagement Report	Monthly	Customer	Service Provider
Support Coverage	Daily on Business Days	Customer	Service Provider
Standard Catalog	Yearly	Customer	Service Provider
Ensure the availability of the Production, Shadow, Test & acceptance environment	Daily on Business Days	Customer	Service Provider
Execute, Monitor & Analysis of batch Jobs in case of failure	Daily on Business Days	Customer	Service Provider
Documentation related to configuration changes, enhancements	When required	Customer	Service Provider

4.2 Acceptance Criteria

All Deliverables will be reviewed by the Customer and approved in accordance with the acceptance testing procedure.

Deliverable	Acceptance Criteria
Ticket resolution using TopDesk	The issues are resolved in the Production Environment & Tickets are updated with resolution information and closed @ TopDesk

Deliverable	Acceptance Criteria
Releases & Deployment <ul style="list-style-type: none"> • Release plan • Scope document • Testing instruction • Deploying the code in different environments • Release notes 	Releases are successfully deployed in Production Environment and approved by the Customer
Engagement Report	The Service Provider shares the relevant information through email to the Customer & the Customer approves the report
Support Coverage Daily on Business Days	The Service Provider Team is available at their own office during the coverage period, except Federal US holidays
Standard STD Service Catalogue	Reviewed and approved by the Customer
Ensure the availability of the Production, Shadow & acceptance environment	The Customer should be able to perform their daily tasks into these Production Environments
Execute, Monitor & Analysis of batch Jobs in case of failure	Review and approve the batch schedule & analysis document in case of failure
Documentation related to configuration changes, enhancements	Reviewed and approved by the Customer

5 Costs and Payment Schedule

5.1 Cost

The duration of this SOW is valid from 01-Oct-2021 to 30-Sep-2023. The cost for Application Maintenance & Support including business assurance, travel fees & expenses and contingency shall not exceed \$ 849,000.00 (Eight Hundred Forty-Nine Thousand US Dollars)

The breakups of the cost are given below:

Decription	Year(1)	Year(2)	Total Amount
	Oct-21 - Sep-22	Oct-22 - Sep-23	
Annual Budget amount for Managed Services	\$ 349,500.00	\$ 349,500.00	\$ 699,000.00
Contingency*	\$ 56,000.00	\$ 56,000.00	\$ 112,000.00
Additional Travel Expense Budget**	\$ 19,000.00	\$ 19,000.00	\$ 38,000.00
Grand Total	\$ 424,500.00	\$ 424,500.00	\$ 849,000.00

- The Service provider may use the contingency amount for the remaining months of the year if the inflow of tickets goes beyond 17/month for subsequent 2 months in a year.
 - Monthly calculation methodology and review is provided in section 2.1 of this document.
 - Service provider will invoice at the end of the fiscal year for months where ticket volume went above 10% of budgeted count using the following matrix:

Case volume/month	Additional Invoice amount/month
> 18 and <26	\$2583.00
>25 but <35	\$4667.00

- Additional effort to resolve tickets above 35/month would be charged on an hourly basis @ \$175/hour.
- The Customer will retain the contingency amount if the inflow of tickets does not go beyond 17/month.

Optional cost component for Regression testing:

Decription	Year(1)	Year(2)	Total Amount
	Oct-21 - Sep-22	Oct-22 - Sep-23	
Regression testing	\$ 42,000.00	\$ 35,000.00	\$ 77,000.00
Grand Total	\$ 42,000.00	\$ 35,000.00	\$ 77,000.00

The Customer can decide at the start of each year if they want to opt in of this service for the upcoming year.



5.2 Invoice and Payments

The costs (section 5.1) shall be invoiced upfront on an annual basis.

Payments are due forty-five (45) days following invoicing. The total cost to the Customer for the performance of the tasks contained in this SOW and engagement schedule shall not exceed the amount shown, (i) except in the case of Change Orders agreed between the Parties or (ii) except in case of any change to the preconditions and boundaries as described in section 2 & 5.1 of this SOW

5.3 Pricing Schedule

The Service Provider shall invoice the Customer upfront in accordance with the following schedule (in US dollars).

Invoice Date	Amount (\$)
Oct-2021	\$349,500.00
Oct-2022	\$349,500.00

The invoice schedule, as defined hereinabove, shall exclude all travel, contingency, taxes, and duties (including but not limited to value added tax, withholding tax, local, state, and federal taxes, if any) and all such amounts shall be additionally charged by the Service Provider to the Customer.

This budget has been estimated based on the preconditions and boundaries as described in section 2 & 5.1 in this SOW.

Both Parties commit to discuss and review, at least quarterly, the preconditions, boundaries and budget and to make the necessary adjustments whenever needed to make sure the budget is aligned to actual consumption.

5.4 Travel and Expense Guidelines

5.4.1 Reimbursement for Travel Expenses

The Customer shall reimburse for Expenses for travel as detailed in an amount not to exceed \$19,000.00. The Service Provider will invoice for travel 30 days after occurrence.

The Service provider Personnel will pursue value through the least expensive, yet most reasonable and/or appropriate alternatives, and are expected to use preferred suppliers (i.e., airline, hotel, car rental, etc.) where negotiated rates have been established.

The Service Provider would discuss with the Customer and seek for an approval prior to travel to the Customer location. The Service Provider would invoice travel and other expenses on actuals as it incurs along with the regular recurring monthly invoice. The Service Provider will report travel expenses (budget vs actual) to the Customer time to time for further planning.

5.4.1.1 Airfare

The Customer shall reimburse for airfare not to exceed \$1,000.00 round trip from locations within North America, unless there is prior written approval from the Customer Project Manager. All air travel shall be “coach class” or that class that offers the lowest overall fare for the given itinerary. The Service Provider shall book all air travel as far in advance as possible to take advantage of the air carrier’s best rate.

If the Service providers’ employee elects to change a flight for their own convenience after the ticket has been approved and booked, the Customer shall not reimburse for any charges incurred to change the airline ticket and the Service Provider’ employee will be responsible for paying any charges incurred to change the airline ticket.

If the Customer or Service Provider Manager request makes it is necessary to change a flight after it has been approved and booked, the Service Provider will not be responsible for the charges incurred to change the airline ticket, and the Customer shall fully reimburse the Service Provider for such flight (in accordance with the terms of this SOW) provided they received prior approval from the City.

Alternate travel can be approved by the Service Provider and Customer Project Managers if the price of the airline ticket is the same cost or less than the price of flying to the relevant Service Provider Personnel’s home airport. This could include weekend stays that do not require a flight.

5.4.1.2 Parking

The Customer shall reimburse for actual cost of parking fees, tolls, and other road tariffs encountered while traveling to/from airports or the Customer offices.

5.4.1.3 Mileage

Mileage rates will be consistent with the Internal Revenue Code annual rates posted while traveling to/from airports or train stations.

5.4.1.4 Hotels

When overnight stay is appropriate, the Customer shall reimburse Service Provider for hotel lodging expense, not to exceed \$135 per night including applicable taxes or other tariffs. The Service Provider agrees to pursue corporate or special rates at local hotels.

5.4.1.5 Rental Cars

Rental cars will be used for local travel at the destination city and the associated expenses (including fuel) shall be recoverable and reimbursable.

Should two (2) to three (3) Service Provider Personnel travel to the destination city, a rental car shall be shared whenever travel and work schedules permit. Should four (4) to seven (7) employees travel to the destination city, two rental cars shall be shared, and reimbursable. Over seven (7) personnel travelling to the destination city will be rare, and the number of rental cars will be considered on a case by case basis.



Service Provider will rent cars with unlimited mileage and will work to minimize weekly rental car costs.

5.4.1.6 Per Diem

The Customer shall reimburse the Service Provider for each full day of travel/work that the relevant Service Provider Personnel is on site with the Customer at a per diem rate of based on the amount listed on the U.S. General Services Administration web site @ <http://www.gsa.gov/portal/category/100120> for rates detailed for Round Rock, TX.

As a general rule of thumb, the break-out for the meals (incidentals are factored in within these amounts) are as follows: Breakfast – 20%. Lunch – 30% and Dinner – 50%.

Per Diem charges will be invoiced without the requirement to submit meal expense receipts.

5.4.2 Invoicing Travel

Billing for travel related Expenses will be on a separate monthly invoice from the invoices from Service Provider in respect of the Services. Expenses will be charged two (2) months after the Expenses have occurred

Estimated travel costs are detailed as follows:

Travel policy and assumptions	Daily Rate	Per Trip/FC	Weekly Total
Hotel lodging per night according to GUS travel policy	\$ 135.00	4	\$ 540.00
Meal allowances (per diem) per day according to GUS travel policy, official website http://www.gsa.gov/portal/category/100120	\$ 59.00	5	\$ 295.00
Airfare economy class, actual costs assumed 457\$/flight (incl. international flights)	\$ 457.00	1	\$ 457.00
Standard rental car assumed 45/day	\$ 45.00	4	\$ 180.00
Fuel cost for rental car	\$ 15.00	1	\$ 15.00
Taxi costs (travel between airport, hotel and customer)	100	1	\$ 100.00
	Per Trip Total		\$ 1,587.00
Number of trips	12		
Total person days on-site	12 Weeks		Project Total
No. of consultants on site / no. of trips	1	12	\$ 19,044.00

6 Appendixes

Appendix	Description	File name
Appendix A	RACI model for each service	Section 6.1.1
Appendix A	Support coverage hours	Section 6.1.2
Appendix B	Summary of Services	Section 6.2.1
Appendix B	List of integrations	Section 6.2.2
Appendix C	Incident Management Process	Incident Management Process.pdf
Appendix D	Change Management Process	Change Management Process.pdf
Appendix E	Release Management Process	Release Management Process.pdf
Appendix F	Standard Catalogue	COG – Sample_Change_Request v1.0.xls

6.1 Appendix A: RACI Model / Support Coverage

6.1.1 RACI

The table below lists the tasks and responsibilities in more detail using the standard RACI model. In each Incident, following convention is used:

- R: The Party is Responsible for the execution of this task according to the method as specified in the mutual agreement.
- A: The Party is Accountable for the end-result of the task.
- C: The Party is Consulted during the task. This implies that the Party is either giving advice during the execution of the task or performs a specific part of the task as mutually agreed.
- I: The Party is (or can be) Informed of (the result of) the task.

Task	CUSTOMER	Service Provider
Incident Management		
Perform helpdesk function for end-users of the Solution, including the registration of all issues and questions of users and the communication of solutions to the end-user	AR	I
Perform first line Incident investigation and resolution	AR	I
Perform second line Incident investigation and resolution	ACI	R
Escalate Incidents following the agreed-on procedures and templates using the Service Provider helpdesk system	AR	C
Perform third line Incident investigation and propose solutions to remedy such Incidents	A	R
Operate a helpdesk system for the use of the Customer Key-users to register tickets to be handled by the Service Provider		AR
Create problem tickets based on Incidents that are caused by a larger issue	A	R
Create problem tickets if deemed necessary based on Incident recurrence	CI	AR

Implement proposed configuration changes based on an Incident investigation	AC	R
Implement proposed changes in system usage instructions based on an Incident investigation	AR	C
Implement any software solutions to resolve bugs in the Customer specific code and/or the Customer specific interfaces	C	AR
Minor Changes (STD Service Catalogue)		
Define STD Service catalogue	CI	AR
Approve STD Service catalogue & buy service efforts	AR	CI
Business impact analysis of the changes	AR	CI
UMAX system impact analysis of the changes	CI	AR
Impact analysis of the third-party peripheral systems (e.g. Ucentra, Esri etc.)	AR	CI
Perform the changes & testing within UMAX	CI	AR
Accept the changes in different environments	AR	CI
Advice on Go/No-Go for the changes based on the result of the tests	AR	CI
Decide on the Go/No Go for the changes	AR	
Release, Change, Deploy and Configuration Management		
Define a yearly release schedule	A	R
Approve the yearly release schedule	AR	
Propose scope of the upcoming release		AR
Escalate and propose any necessary changes to the release scope		AR
Accept scope of the upcoming release	AR	
Ensure items in scope are delivered according to the release schedule	A	R
Create releasenotes for each release		AR
Communicate availability of the different systems and environments to end-users and customers	AR	
Perform deploy activities for UMAX on the different environments	A	R
Perform deploy activities for Front Office on the different environments	A	R
Perform deploy activities for CSS, Cashiering on the different environments	A	R
Perform infrastructure related deploy activities on the different environments	AR	C
Implement any software solutions to provide enhancements in the Customer specific code and/or the Customer specific interfaces	C	AR
Coordinate all deploy activities on the different environments	A	R
Perform specific parametrization on the different environments as needed for the release scope	A	R
Perform specific data manipulation jobs on the different environments as needed for the release scope	A	R
Testing of delivered package in Service Provider Test environment	CI	AR
Perform acceptance testing on the different environments	AR	I
Accept the release on the different environments	AR	I
Advice on Go/No Go for the continuation of the release based on the result of the tests	AR	CI
Decide on the Go/No Go for the continuation of the release	AR	
Communicate progress of deploy activities to the Customer key-users		AR

Communicate progress of deploy activities to the Customer's users and customers	AR	
SLA Management		
Perform continuous follow up on the quality of Services delivered by the Service Provider		AR
Report, on a monthly basis, on the Services delivered using the Service Provider standard format	I	AR
Present the monthly service report to the Customer	C	AR
Appoint a specific person within the Service Provider as a SPOC for the Customer related to Service Delivery	I	AR
Create and maintain a single governance and escalation organization within the Service Provider to the Customer with all Services rendered to Customer	I	AR
Create and maintain a governance and escalation organization within the Customer	AR	I
Execute phase of the Operational Management (Batch & Interface)		
Perform batch scheduling and scheduling of other processes	A	R
Ensure that all maintenance activities of related entities are known to all parties involved	AR	CI
Perform daily checks on the execution of the Nightly batch job & interfaces on Business Days	A	R
Assess all deviations from normal processing ¹ during the daily check	A	R
Report on all deviations from normal processing during the daily check		AR
Evaluate issues related deviations from normal processing and propose solutions for resolving the deviations	AC	R
Resolve any issues related deviations that occur during normal processing	AC	R
Evaluate all business-related deviations from normal processing and propose solutions for resolving the deviations	AR	CI
Resolve any business-related deviations that occur during normal processing	AR	I
Evaluate all infrastructure related deviations from normal processing and propose solutions for resolving the deviations	AR	CI
Business Reconciliation and data validation	AR	CI
Report interface reconciliation related issues	CI	AR
Resolve & Reconciliation interface related issues within UMAX	CI	AR
Resolve & Reconciliation interface related issues within third parties	AR	CI
Performance & Availability Management		
Monitor the performance & availability of the application and database (SQL-Server) in the production environment through automated job	CI	AR
Communication alerts need to be sent when the application & database has failed P&A.	CI	AR
Identify areas of poor application/program, database performance (e.g. long running queries, DB growth etc.)	CI	AR
Resolve poor application/program, database performance	CI	AR
Hardware & OS level issues & remediation	AR	CI

Normal processing is processing where results of the processing both with regard to number and type of errors and to duration of the processing are within acceptable boundaries from a historical perspective or as can be expected based on system load

RCA for recurring issues	CI	AR
Monthly status reporting & recommendations for improvement, if any	CI	AR
Regression testing		
Modifying & maintaining the existing regression test cases as and when required due to delivered changes	CI	AR
Identifying the regression test scenarios and selecting the appropriate test cases for each release	CI	AR
Execution of identified regression test cases for each release	CI	AR
Resolution of regression test defects	CI	AR
Provide a regression test summary report for each release	CI	AR

6.1.2 Support Coverage

Service Provider Team shall use its best efforts to provide support to the Customer's business during the below time zone.

Business Days	Start	End
Monday-Friday (except Federal US holidays)	9 AM EST/EDT	5 PM EST/EDT

6.2 Appendix B: Services / Integration List

6.2.1 Services

Summary of the Services:

Service Level Names	In Scope
L2 Support	Yes
L3 Support (UMAX Product issue resolution)	Yes
L3 Support (MS AX2012)	Yes
Custom component + Interface developed by the Service Provider (Maintenance & Support)	Yes
Problem Management	Yes
Minor Changes (max 36-person days of effort in a year)	Yes
Release, Change, Deploy and Configuration Management (ACCEPT & PROD)	Yes
Regression testing	Optional (TBD)
Batch & Interface Management	Yes
SLA Management	Yes
Availability & continuity and Capacity management	Yes
System & Infrastructure management	No

Find below the list which are supported by application Support Team.

Applications	UMAX CIS, CSS, Front Office, Paymentus, Cashiering (Mazik)
--------------	--



Version	AX 2012
# of Customers (Accounts)	< than 50,000
# of COG Users	< than 50
# of Interfaces	Information is given below in section 6.2.2

6.2.2 Integration List

Interface	Frequency
Texas Disposal System	
Export Customer Information	3
uCentra	
Export customers	3
Export billing history	3
Export meters	3
Remote Connect/Disconnect Meters	4
Import Meter Reads	3
ESRI	
Import Addresses	3
Export Premises and Services (+ Attributes)	4
Import Premises Attributes	3
Import Service Attributes	3
Front Office > ESRI Map	4
My Permit Now	
Check premises permits	4
RemitPlus - Import check payments in UMAX (payment transaction + image)	
Transform and import payment file from RemitPlus	3
Transform and import cheque images from RemitPlus	3
Dataprose	
Create / Export Zip file	3
Upload Zip File	3
Incode	
Export and transform ledger transactions to Incode file	3
Export and transform refund requests to Incode	3
Princeton - Payment File	
Transform and import payment file from Princeton	3
Checkfree - Payment File	
Transform and import payment file from CheckFree	3
Metavante - Payment File	
Transform and import payment file from Metavente	3
Infor - Assets	
Import and create assets in UMAX inventory	3
Infor - Service Orders	
Create a work order in Infor	4
Get work orders ON-HOLD in Infor	4
Cancel a work order in Infor	4
Get work orders COMPLETED in Infor	4
Milsoft - Export customer, service, meter and DNP information	
Export Disconnect for Non-Pay (DNP)	3
Export Customer, Service and Meter information	3
Cisco - Front Office IVR Integration	
IVR - Front Office Integration	4
Paymentus Integration	
Export CIF File	3
Export Broadcasts	4

6.3 Appendix C: Incident Management Process



Incident Management Process

6.4 Appendix D: Change Management Process



Change Management Process

6.5 Appendix E: Release Management Process



Release Management Process

6.6 Appendix F: Standard Catalogue



GUS - STD Service Catalog_v1.xlsx

7 Approvals

Item #	City of Georgetown	City of Georgetown	Itineris
Name	Leticia Zavala	Josh Schroeder	John Beddingfield
Role	Customer Care Director	Mayor	President
Signature			
Date			

Customer signature serves as an acceptance of the budget amount listed above as it relates to the description of work contained in this Statement of Work. Your signature also indicates you have reviewed and agree to the scope of work as detailed in any accompanying enclosures or attachments.