

**Statement of Work  
Office of the Chief Technology Officer  
Application Services**

**DCHR KoFax/FileNet Application Enhancements  
Version 1.3.0  
July 20, 2009**

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# 1 Professional Services

## 1.1 Background

In July 2007, the District of Columbia assumed responsibility for the DC Public Schools (DCPS). In August 2007, the Office of the Chief Technology Officer (OCTO), collaborated with the Office of the Chief Financial Officer (OCFO), and DCPS to digitize 4.6 million pages of Official Personnel Files (OPF's) to address an eminent material weakness in the District's annual financial review because 700,000 OPF documents had not been filed over a period of 6 to 8 years into the 15,000 DCPS OPF's. Thus, not only were the records incomplete, but it appeared that less than 20% of the records had the documentation to justify school district employee's salaries.

An emergency procurement that totaled approximately 3 million dollars (1.5 million from the OCFO, \$900,000 from OCTO, and \$600,000 from DCPS) was provided under the direction of the Mayor and City Administrator to complete a 60 day project to remedy the situation. To accomplish this momentous task in such a short period the District quickly set up its first enterprise instance of the Kofax Ascent capture product with the IBM/FileNet digital document management system; the District's newly selected standard for digital records management.

Because of the urgency, the usual procedures for building an enterprise level technology solution were waived thus the minimum configuration was installed consisting of two temporary servers in the production room at DCPS in order to facilitate achieving the ambitious 60 day deadline imposed on the contractor by the District. This approach proved sound for the short term objective; it assured that a material weakness was not declared by the auditors and increased DCPS HR productivity by 25%, as well as a similar increase in customer and employee satisfaction. However, this approach, as with most short term fixes, created long term problems that were not anticipated. This SOW is designed to resolve the shortcomings and provide a scalable solution that can meet expanding needs over the next decade.

Over the past two years, since the project was complete, due to funding exigencies and program direction, the technology infrastructure and FileNet/KoFax software solutions were not updated to meet business, functional or technical requirements.

Hence, the FileNet Enterprise Document Management System is still running on an infrastructure of two Dell servers that were installed under an emergency procurement for one agency over 22 months ago. There is no test or development environment, nor a backup/roll over system. There is no way to

test upgrades or modifications to the current system without bringing the system down for potentially extended periods because of the lack of a test environment.

Over 100 users in three different Agencies are now dependent on this system for mission critical data on a daily basis. Failures of this system for as long as four hours have already been experienced which has severely impacted end users productivity.

Because of the lack of a test or development environment, when there are updates to this application it creates challenges that slow system performance and cause server down time. The system has failed during working hours in the past, and is in imminent danger of major failure due to lack of needed upgrades, and overextended bandwidth throughput. Thus, the DCPS HR FileNet Document Management system, which is now maintained by OCTO, is in a critical state.

The OCTO enterprise Development and Test environments are virtual environments and the architecture is spread across multiple physical and virtual machines.

Currently in the 'As Is' environment for the KoFax software application consists of 3 production servers which are used for load balancing. The "To Be" environment as a result of this project will involve the configuration for 4 more servers (for a total of 7); two new servers for the KoFax Transformation and Separation Modules, and two new servers for the Test and Development environments. OCTO's applications services infrastructure group will determine and be responsible for the servers (virtual or physical), not the vendor.

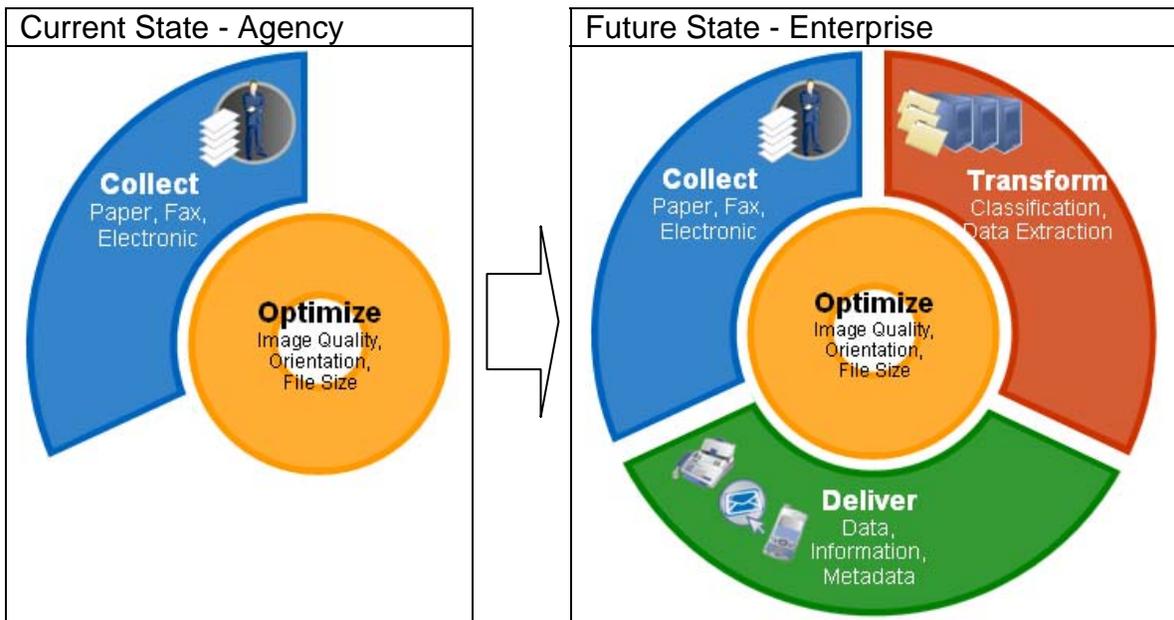
Currently the "As Is" environment for FileNet is two servers for production. The "To Be" environment as a result of this project will involve the configuration of 4 more servers (for a total of 6); one more for production, and three for the test and development environments.

The current state of the OCTO maintained FileNet system interferes with the following DCHR following objectives:

Objectives	Required Actions
<ul style="list-style-type: none"> <li>✓ Separate 12 million pages into an estimated 3.3 million documents.</li> <li>✓ Classify the 3.3 million documents based on an expected list of 250 document types.</li> <li>✓ Index 3.3 million documents based on data captured during the scanning process, data already residing in PeopleSoft, and data generated by KTM.</li> </ul>	<p><b>Production Software Enhancements</b></p> <ul style="list-style-type: none"> <li>⇒ Collect DCHR business functional and technical requirements</li> <li>⇒ Configure Kofax KTM for DCHR</li> <li>⇒ Create custom Kofax Ascent Capture Indexing script to leverage People Soft data.</li> <li>⇒ Train Production Staff</li> </ul> <p><b>Infrastructure Enhancements</b></p>

<ul style="list-style-type: none"><li>✓ Provide index data to DCHR users for automated search and retrieval of OPFs</li><li>✓ Enable the testing and complete installation of the PeopleSoft-FileNet connector purchased by DCPS HR.</li></ul>	<ul style="list-style-type: none"><li>⇒ Create FileNet Test and Development Environment</li><li>⇒ Configure webshpere and FileNet for mulit-domain access.</li><li>⇒ Configure SAN Storage for primary repository.</li></ul>
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## 1.2 Tasks to move from the As Is and To Be Software Environment



(Adapted from KoFax Incorporated Literature)

The current state of OCTO maintained Kofax production scanning and indexing software provides for the collection of paper into the production workflow. The production workflow includes the following steps:

1. printing separator sheets
2. inserting separator sheets to designate the beginning and end of documents within an OPF
3. manual indexing of data from the OPF jacket prior to scanning an OPF
4. manual classification of documents by operators based on a drop-down menu displayed next to the scanned images.

The future state of the Kofax Production system will be expanded to incorporate automated separation and classification by leveraging the Kofax Transformation Modules originally purchased by DCRA and to be installed by DCPS HR. This software combined with the professional services listed below will enable DCHR to:

1. avoid printing separator sheets
2. avoid physically inserting separator sheets
3. deliver metadata/index data to the production indexing based on a key field such as SSN.
4. Automatically classify documents using the Kofax Transformation Module.

The total time savings will reduce the FTE requirements by an estimated 50%.

**TASKS**

**1.2.1 Collect DC HR business functional and technical requirements**

Collect and integrate into implementation, configuration and reconfiguration of KoFax and FileNet, DCHR’s business requirements in order to reconfigure FileNet and KoFax to meet DCHR business, functional and technical requirements to increase performance and reliability of existing software and upgrade modules.

<p>Tasks</p> <ol style="list-style-type: none"> <li>1) Formalize vendor project team.</li> <li>2) Formalize DCHR project team.</li> <li>3) Establish a project steering committee with representatives including executive sponsorship, key stake holders, the customer project team and the DSI project team.</li> <li>4) Define project review schedule.</li> <li>5) Review major project milestones, tasks.</li> <li>6) Develop Project Management Plan around SDLC Work Breakdown Structure (WBS) format.</li> </ol>	<p>Deliverables</p> <ul style="list-style-type: none"> <li>▪ Documented team structure (DSI project team, DCPS HR project team, Steering committee).</li> <li>▪ Approved Project Management Plan.</li> </ul>
<ol style="list-style-type: none"> <li>7) Analysis of Document Classes</li> <li>8) Analysis of page volumes</li> <li>9) Analysis of the storage repository (object store architecture)</li> <li>10) Analysis of DCPS HR server capacity</li> </ol>	<p>Deliverable</p> <ul style="list-style-type: none"> <li>▪ Back-file Analysis for Digital documents</li> </ul>

<p>11) Document detailed system design (hardware, software).                  12) Document records management workflow properties (groups, users, Document Class/property data fields used, deadlines, and milestones).                  13) Document repository architecture (folder structure, Document Classes, property data fields, groups, users).</p>	<p><b>Deliverables</b></p> <ul style="list-style-type: none"> <li>▪ System Design (hardware and software)</li> <li>▪ FileNet repository architecture</li> <li>▪ Kofax Batch Class Design</li> <li>▪ Document Conversion Plan using KTM</li> </ul>
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**1.2.2 Configure Kofax KTM**

<p><b>Tasks</b></p> <p>14) Configure KTM hardware/software to specifications                  15) Folder structure                  16) Document Class Configuration                  17) Property data and index fields                  18) Security Configuration-Groups/User Permissions                  19) Integration/release scripts                  20) Train KTM software                  21) Train DCHR Q/C Clerks (5)</p>	<p><b>Deliverables</b></p> <ul style="list-style-type: none"> <li>▪ DCHR approved System Configuration</li> </ul>
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**1.2.3 Create custom Kofax Ascent Capture Indexing script to leverage People Soft data.**

<p><b>Tasks</b></p> <p>22) Validate end user requirements                  23) Assess production indexing requirements                  24) Create custom query to leverage data in Oracle from PeopleSoft during production indexing</p>	<p><b>Deliverables</b></p> <ul style="list-style-type: none"> <li>▪ Ability for production staff to enter minimal data during the production indexing by leveraging data in the Peoplesoft/Oracle tables.</li> <li>▪ Train production staff on the new indexing routine.</li> </ul>
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**1.3 Infrastructure Enhancements**

The need for these services is based on several facts:

- There is currently no FileNet test/development environment which requires that changes to the system be performed on the production environment which potentially could lead to up to 25 production personnel being unable to process documents for extended periods of time while changes to the system are made.
- The production system is running out of space for the storage and processing of Images.

- The Production System houses two separate but CPU intensive Applications (FileNet and Kofax) on one Single Server.
- Network Traffic on this single server is slowing down production due to growing numbers of document images being processed on a single server.
- The system was initially designed for a single agency scanning and storing documents, but the system has now become a mission critical tool utilized by at least three different departments in the D.C. Government.
- The terms for the Kofax and FileNet annual software maintenance is ending.

**1.3.1 Create FileNet Test and Development Environment**

Tasks	Deliverable
25) Configure, test and integrate two Virtual Servers for development environment. 26) Create Physical to Virtual Machine images of both Application and Database Servers. 27) Load images onto Virtual Machines 28) Rename Servers to avoid conflict with production servers. 29) Configure FileNet and Websphere and Oracle for new server names 30) Test operation of Development Environment 31) Configure and Test Websphere Application Server 32) Configure and Test FileNet Content engine in Development Environment 33) Configure and Test FileNet Workplace Applications in Development Environment 34) Test authentication sources in Development Environment 35) Certify operation of development environment. 36) Document Development Environment Architecture and unique attributes.	<ul style="list-style-type: none"> <li>▪ FileNet Test and Development Environment</li> </ul>

### 1.3.2 Configure websphere and FileNet for multi-domain access

Tasks	Deliverable
37) Back up Development Environment. 38) Schedule IBM/FileNet Engineering Support For Websphere upgrade 39) Create PMR 40) Create system architecture document for upgrade 41) Send PO For Engineering Support Services During Migration 42) Call and Schedule Support 43) Install upgraded version of IBM Websphere in development environment. 44) Coordinate with OCTO staff to define configuration of authentication sources in Websphere and FileNet 45) Configure FileNet Authentication to allow for multi Realm Authentication and Test. 46) Test Scenarios for Authentication to Central LDAP Server and at least three other domain servers 47) Apply upgrades to Production FileNet Servers, 48) Set up Authentication sources as determined in development environments 49) Mirror the Development Environment to the Production Environment. 50) Test all functionality in the Production Environment	<ul style="list-style-type: none"><li>▪ Multi-Domain Access for FileNet users</li></ul>

### 1.3.3 Configure SAN Storage for primary repository

<p>Tasks</p> <ul style="list-style-type: none"><li>51) Fully Backup entire FileNet system.</li><li>52) Print and Review all Technical bulletins</li><li>53) Apply all necessary Patches and upgrades to FileNet/WebSphere/Oracle System.</li><li>54) Export all Document Classes and Properties.</li><li>55) Schedule IBM/FileNet Engineering Support For Migration</li><li>56) Create PMR</li><li>57) Create system architecture document for upgrade</li><li>58) Send PO For Engineering Support Services During Migration</li><li>59) Call and Schedule Support</li><li>60) Oracle services</li><li>61) Stop Oracle Services</li><li>62) Copy Oracle Tables to Flat file</li><li>63) Restart Services</li><li>64) Define and Document storage requirements for each object store in SAN environment.</li><li>65) Copy each Object Store to appropriate location in New SAN</li><li>66) Test connection to San Environment in Virtual Server Development Environment</li><li>67) Upon successful completion of test document steps for production environment</li><li>68) Change production FileNet configuration to point to images in New FileStore location.</li><li>69) Test WebSphere settings for new repository</li><li>70) Test FileNet settings</li><li>71) Test Access to images and data in new system</li></ul>	<p>Deliverable</p> <ul style="list-style-type: none"><li>▪ Ability to use the SAN storage</li></ul>
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### 1.4 Government Estimate Professional Services

Deliverable	Tasks	Estimated time labor categories
1. Collect DC HR business functional and technical requirements	<ol style="list-style-type: none"> <li>1) Establish DCHR/OCTO/DCPS/DCRA &amp; vendor project team.</li> <li>2) Establish project schedule</li> <li>3) Develop project plan</li> <li>4) Assess and quantify of Document Classes</li> <li>5) Assess volumes</li> <li>6) Assess storage requirements and architecture of object store</li> <li>7) Assess OCTO server capacity</li> <li>8) Visually prepare system design</li> <li>9) Assess workflow requirements</li> <li>10) Determine repository architecture</li> </ol>	<p>Schedule – 2 weeks</p> <p>Estimated Hours:  Project Mgr 160 hours  Business Analyst 120 hours  Technical Writer 80 hours  Systems Adm. 80 hours  Systems Arch - 80 hours</p> <p><b>Government Estimate 520 hours</b></p>
2. Create FileNet Test and Development Environment	<ol style="list-style-type: none"> <li>1. Configure, test and integrate two Virtual Servers for development environment. <ol style="list-style-type: none"> <li>a. Create Physical to Virtual Machine images of both Application and Database Servers.</li> <li>b. Load images onto Virtual Machines</li> <li>c. Rename Servers to avoid conflict with production servers.</li> <li>d. Configure FileNet and Websphere and Oracle for new server names</li> <li>e. Test operation of Development Environment</li> </ol> </li> <li>2. Configure and Test Websphere Application Server</li> <li>3. Configure and Test FileNet Content engine in Development Environment</li> <li>4. Configure and Test FileNet Workplace Applications in Development Environment</li> <li>5. Test authentication sources in Development Environment</li> <li>6. Certify operation of development environment.</li> <li>7. Document Development Environment Architecture and unique attributes.</li> </ol>	<p>Schedule - 2 weeks</p> <p>Estimated Hours:  Systems Installer - 80 hours  Systems Programmer- 80 hours  Systems Architect - 80 hours</p> <p><b>Government Estimate 240 hours</b></p>
3. Upgrade WebSphere and FileNet to	<ol style="list-style-type: none"> <li>1. Back up Development Environment.</li> <li>2. Schedule IBM/FileNet Engineering Support For WebSphere upgrade</li> </ol>	<p>Schedule - 2 weeks</p> <p>Estimated Hours:</p>

<p>Latest versions and patches to Allow for Multi Domain Authentication</p>	<ol style="list-style-type: none"> <li>a. Create PMR</li> <li>b. Create system architecture document for upgrade</li> <li>c. Send PO For Engineering Support Services During Migration</li> <li>d. Arrange and schedule for IBM Support</li> <li>3. Install upgraded version of IBM WebSphere in development environment.</li> <li>4. Coordinate with OCTO staff to define configuration of authentication sources in WebSphere and FileNet</li> <li>5. Configure FileNet Authentication to allow for multi Realm Authentication and Test.</li> <li>6. Test Scenarios for Authentication to Central LDAP Server and three other domain servers</li> <li>7. Apply upgrades to Production FileNet Servers</li> <li>8. Set up Authentication sources as determined in development environments</li> <li>9. Mirror the Development Environment to the Production Environment.</li> <li>10. Test all functionality in the Production Environment</li> <li>11. Document all procedures</li> </ol>	<p>Systems Installer - 94 hours  Systems Programmer - 160 hours  Systems Architect - 160 hours</p> <p><b>Government Estimate 414 hours</b></p>
<p>4. Configure SAN Storage for Primary Repositories – Migrate Existing Data and Images to SAN Repository.</p>	<ol style="list-style-type: none"> <li>1. Fully Backup entire FileNet system.</li> <li>2. Print, Review, and Document all Technical bulletins</li> <li>3. Apply all necessary Patches and upgrades to FileNet/WebSphere/Oracle System.</li> <li>4. Export all Document Classes and Properties.</li> <li>5. Schedule IBM/FileNet Engineering Support For Migration <ol style="list-style-type: none"> <li>a. Create PMR</li> <li>b. Create system architecture document for upgrade</li> <li>c. Send PO For Engineering Support Services During Migration</li> <li>d. Schedule Support</li> </ol> </li> <li>6. Oracle services <ol style="list-style-type: none"> <li>a. Stop Oracle Services</li> <li>b. Copy Oracle Tables to Flat file</li> <li>c. Restart Services</li> </ol> </li> </ol>	<p>Schedule - 2 weeks</p> <p>Estimated Hours:  Systems Installer - 160 hours  Systems Programmer - 160 hours  Systems Architect - 160 hours</p>

	<p>7. Define and Document storage requirements for each object store in SAN environment.  8. Copy each Object Store to appropriate location in New SAN  9. Test connection to San Environment in Virtual Server Development environment  a. Upon successful completion of test document steps for production environment  10. Change production FileNet configuration to point to images in New FileStore location  11. Test Websphere settings for new repository  12. Test FileNet settings  13. Test Access to images and data in new system  14. Document all procedures</p>	<p><b>Government Estimate 480 hours</b></p>
<p>5. Create custom Indexing script pull info from PeopleSoft to KoFax</p>	<p>1) Gather user requirements  2) Gather indexing requirements  3) Configure custom query to from PeopleSoft via oracle data base</p>	<p>Schedule - 1 week   Estimated Hours:  Business Analyst 40 hours  Technical Writer 40 hours  Programmer- 40 hours  Systems Arch. 20 hours   <b>Government Estimate 140 hours</b></p>
	<p>Total Government Estimated Hours</p>	<p><b>1,794</b></p>

## 2 Period of Performance

The period of performance shall be 8 weeks from the date of award.

## 3 Documentation and Change Management

The vendor is responsible for complete project documentation which shall include documentation for all technical changes following standard OCTO's change

management procedures which will be coordinated with the vendor through OCTO's Applications Services Enterprise Change Management Office

#### **4 Requirements:**

This is a District of Columbia Supply Schedule procurement.

The vendor must have demonstrated successful experience installing, configuring, integrating, technology in the District or comparable organizations, and have demonstrated experience of successful business deployment associated with such technology project (e.g., governance, requirements, user acceptance). The vendor must have expert experience working with the District's Enterprise Content Management (ECM) standards and tools; i.e., FileNet P8/KoFax Assent and KTM/SharePoint, as well as the supporting platform of Oracle and WebSphere in the District or a comparable environment. This project involves integrating and leveraging the FileNet/KoFax technology of Department of Consumer and Regulatory Affairs, DC Public Schools, DC Retirement Board, and OCTO to create a "shared service" to save the District integration costs, it is desired that the successful vendor have experience with these District Projects or expertise of similar integrations of these technology in Personnel Case File/Official Personnel Records projects in comparable organizations. This is particularly critical in this project because of the lack of documentation of the OCTO platform that was implemented under emergency contracting conditions in 2007. Demonstrated successful experience in projects of this scope is essential to successfully completing this project in this specified timeframe.

**PRICE SCHEDULE**

**B.3.1 BASE PERIOD (Date of Award thru Eights Weeks Thereafter)**

<b>Contract Line Item No. (CLIN)</b>	<b>Labor Category</b>	<b>Unit</b>	<b>Unit Price</b>	<b>Estimated Quantity</b>	<b>Total Price</b>
0001	Project Manager	Labor Hour	\$_____	160	\$_____
0002	Business Analyst	Labor Hour	\$_____	160	\$_____
0003	Technical Writer	Labor Hour	\$_____	120	\$_____
0004	Systems Administrator	Labor Hour	\$_____	80	\$_____
0005	Systems Architect	Labor Hour	\$_____	500	\$_____
0006	Systems Installer	Labor Hour	\$_____	334	\$_____
0007	Systems Programmer	Labor Hour	\$_____	440	\$_____
<b>Grand Total for B.3.1</b>					\$_____

GOVERNMENT OF THE DISTRICT OF COLUMBIA  
OFFICE OF THE CHIEF FINANCIAL OFFICER  
OFFICE OF TAX AND REVENUE



## TAX CERTIFICATION AFFIDAVIT

**THIS AFFIDAVIT IS TO BE COMPLETED ONLY BY THOSE WHO ARE REGISTERED TO CONDUCT BUSINESS IN THE DISTRICT OF COLUMBIA.**

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

Name of Organization/Entity: \_\_\_\_\_

Address: \_\_\_\_\_

Business Telephone No.: \_\_\_\_\_

Principal Officer: \_\_\_\_\_

Name: \_\_\_\_\_ Title: \_\_\_\_\_

Social Security No.: \_\_\_\_\_

Federal Identification No.: \_\_\_\_\_

Contract No.: \_\_\_\_\_

Unemployment Insurance Account No.: \_\_\_\_\_

I hereby certify that:

1. I have complied with the applicable tax filing and licensing requirements of the District of Columbia.
2. The following information is true and correct concerning tax compliance for the following taxes for the past five (5) years:

	<u>Current</u>	<u>Not Current</u>	<u>Not Applicable</u>
District: Sales and Use	( )	( )	( )
Employment Withholding	( )	( )	( )
Ballpark Fee	( )	( )	( )
Corporation Franchise	( )	( )	( )
Unincorporated Franchise	( )	( )	( )
Personal Property	( )	( )	( )
Real Property	( )	( )	( )
Individual Income	( )	( )	( )

**The Office of Tax and Revenue is hereby authorized to verify the above information with the appropriate government authorities. The penalty for making false statements is a fine not to exceed \$5,000.00, imprisonment for not more than 180 days, or both, as prescribed by D.C. Official Code § 47-4106.**

**This affidavit must be notarized and becomes void if not submitted within 90 days of the date notarized.**

\_\_\_\_\_  
Signature of Authorizing Agent

\_\_\_\_\_  
Title

\_\_\_\_\_  
Print Name

Notary: DISTRICT OF COLUMBIA, ss:

Subscribed and sworn before me this \_\_\_\_\_ day of \_\_\_\_\_ Month  
and Year

Notary Public: \_\_\_\_\_

My Commission

Expires: \_\_\_\_\_