

File No. 210908

Committee Item No. 1

Board Item No. \_\_\_\_\_

## COMMITTEE/BOARD OF SUPERVISORS

### AGENDA PACKET CONTENTS LIST

Committee: Budget & Finance Committee

Date September 29, 2021

Board of Supervisors Meeting

Date \_\_\_\_\_

#### Cmte Board

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| <input type="checkbox"/>            | <input type="checkbox"/> | Motion                                       |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | Resolution                                   |
| <input type="checkbox"/>            | <input type="checkbox"/> | Ordinance                                    |
| <input type="checkbox"/>            | <input type="checkbox"/> | Legislative Digest                           |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | Budget and Legislative Analyst Report        |
| <input type="checkbox"/>            | <input type="checkbox"/> | Youth Commission Report                      |
| <input type="checkbox"/>            | <input type="checkbox"/> | Introduction Form                            |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | Department/Agency Cover Letter and/or Report |
| <input type="checkbox"/>            | <input type="checkbox"/> | MOU  |
| <input type="checkbox"/>            | <input type="checkbox"/> | Grant Information Form                       |
| <input type="checkbox"/>            | <input type="checkbox"/> | Grant Budget                                 |
| <input type="checkbox"/>            | <input type="checkbox"/> | Subcontract Budget                           |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | Contract/Agreement                           |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | Form 126 – Ethics Commission                 |
| <input type="checkbox"/>            | <input type="checkbox"/> | Award Letter                                 |
| <input type="checkbox"/>            | <input type="checkbox"/> | Application                                  |
| <input type="checkbox"/>            | <input type="checkbox"/> | Public Correspondence                        |

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Completed by: Linda Wong Date September 22, 2021

Completed by: Linda Wong Date \_\_\_\_\_

1 [Contract Amendment - Retroactive - Northpointe Software, Inc. - Correctional Offender  
2 Management Profiling for Alternative Sanctions - Term Extension - Not to Exceed \$768,950]

3 **Resolution retroactively approving a fifth amendment to the agreement between the**  
4 **Adult Probation Department and Northpointe Software, Inc., for maintenance and**  
5 **support of the Correctional Offender Management Profiling for Alternative Sanctions**  
6 **system (COMPAS), to extend the performance period by 12 months for a total term of**  
7 **11 years from March 7, 2011, through March 7, 2022, with no change to the total amount**  
8 **not to exceed \$768,950.**

9  
10 WHEREAS, The mission of the Adult Probation Department ("ADP") is to achieve  
11 excellence in community corrections, public safety and public service through the integration  
12 of evidence based practices and a victim centered approach for supervision strategies, to  
13 collaborate with law enforcement, courts, Department of Public Health, victim organizations,  
14 and community based organizations to provide a unique blend of enforcement, justice and  
15 treatment, to extend a continuum of integrated services to address its clients' criminogenic  
16 needs and empower them to become productive law-abiding citizens; and

17 WHEREAS, In 2011 California enacted Assembly Bill 109 ("AB 109"), which initiated  
18 criminal justice realignment and ignited funding and policy shifts focused on more robust  
19 integration of evidence based, innovative strategies into probation department work; and

20 WHEREAS, Penal Code, Section 1229 requires probation departments to conduct a  
21 Risk and Needs Assessment (RNA) using a validated RNA Tool as an evidence based  
22 practice to assess risk and effectively supervise and manage client populations, and to report  
23 to the State of California on the implementation and use of a validated RNA tool so the State  
24 may evaluate the implementation of evidence based practices; and

1 WHEREAS, ADP, via a software license agreement originally executed on March 7,  
2 2011, with Northpointe Institute for Public Management, Inc., utilizes the COMPAS risk and  
3 needs assessment tool to clearly define the broad range of challenges faced by its clients  
4 including behavioral health, housing, employment, education, and life skills deficiencies; and

5 WHEREAS, An Assignment and Assumption Agreement between Northpointe Institute  
6 for Public Management, Inc. (Assignor) and Northpointe, Inc. (Assignee) was made as of  
7 January 23, 2012; and

8 WHEREAS, Northpointe, Inc. filed a Corporation Statement of Information with the  
9 California Secretary of State on June 19, 2020, that states that Northpointe, Inc. will do  
10 business in California as Northpointe Software, Inc.; and

11 WHEREAS, ADP seeks to extend the term of the agreement with Northpointe  
12 Software, Inc. for continued maintenance and support of the COMPAS risk assessment tool  
13 for an additional twelve months through March 7, 2022, for a total term of eleven years; and

14 WHEREAS, Charter, Section 9.118 requires that contracts or agreements entered into  
15 by a department, board or commission having a term in excess of ten years shall be subject to  
16 approval of the Board of Supervisors by Resolution; and

17 WHEREAS, ADP obtained approval from the Office of Contract Administration (OCA)  
18 to waive solicitation requirements, in accordance with the San Francisco Administrative Code,  
19 Regulation 21.30: Proprietary Articles Software Licenses, Support, and Proprietary Articles  
20 Equipment Maintenance; and

21 WHEREAS, The proposed Fifth Amendment ("Amendment") is on file with the Clerk of  
22 the Board of Supervisors in File No. 210908, which is hereby declared to be a part of this  
23 Resolution as if set forth fully herein; now, therefore, be it

24 RESOLVED, That the Board of Supervisors hereby authorizes the Chief Adult  
25 Probation Officer or her designee to execute the Amendment to extend the performance

1 period for an additional 12-months through March 7, 2022, for a total term of 11 years; and, be  
2 it

3 FURTHER RESOLVED, That within thirty (30) days of the Amendment being fully  
4 executed by all parties the Chief Adult Probation Officer or her designee shall provide the final  
5 Amendment to the Clerk of the Board for inclusion into the official file.



|   |  |
|---|--|
| <b>Item 1</b><br><b>File 21-0908</b>  | <b>Department:</b><br>Adult Probation Department (ADP) |
| <b>EXECUTIVE SUMMARY</b>  |  |
| <p style="text-align: center;"><b>Legislative Objectives</b></p> <ul style="list-style-type: none"> <li>The proposed resolution would retroactively approve the Fifth Amendment to the contract between the Adult Probation Department (ADP) and Northpointe Software, Inc. for maintenance and support of the Correctional Offender Management Profiling for Alternative Sanctions (COMPAS) system, extending the term by one year through March 7, 2022, with no change to the not-to-exceed amount of \$768,950.</li> </ul> <p style="text-align: center;"><b>Key Points</b></p> <ul style="list-style-type: none"> <li>Northpointe's COMPAS system is a proprietary software and training system designed to measure a variety of criminogenic needs and criminal history information to provide risk and needs assessments for individuals with justice system involvement.</li> <li>ADP has used COMPAS under a contract executed in 2011. The contract has been amended four times and was due to expire on March 7, 2021. ADP executed the Fifth Amendment to the Northpointe contract, extending the term by one year through March 7, 2022, with no change to the not-to-exceed amount. ADP intended to seek Board of Supervisors approval before the contract expired but was unable to do so due to administrative delays.</li> <li>The scope of work under the proposed Fifth Amendment would continue to be the support and maintenance of the COMPAS web interface. Under the existing contract, in 2015 ADP purchased approximately 150 perpetual licenses to access and use the COMPAS system.</li> </ul> <p style="text-align: center;"><b>Fiscal Impact</b></p> <ul style="list-style-type: none"> <li>The proposed Fifth Amendment states that payment to Northpointe for the one-year extension period is \$36,225. The contract is funded by the City's General Fund. Because total contract expenditures are estimated to be \$294,586, the Budget and Legislative Analyst recommends amending the proposed resolution to reduce the contract not-to-exceed amount by \$468,950, from \$768,950 to \$300,000.</li> </ul> <p style="text-align: center;"><b>Policy Consideration</b></p> <ul style="list-style-type: none"> <li>ADP completed a validation study in 2016, which showed that the COMPAS scores are correlated with recidivism for ADP's client population.</li> </ul> <p style="text-align: center;"><b>Recommendations</b></p> <ul style="list-style-type: none"> <li>Amend the proposed resolution to reduce the not-to-exceed amount from \$768,950 to \$300,000 to reflect historical and projected expenditures.</li> <li>Approve the resolution as amended.</li> </ul> |  |

**MANDATE STATEMENT**

City Charter Section 9.118(b) states that any contract entered into by a department, board or commission that (1) has a term of more than ten years, (2) requires expenditures of \$10 million or more, or (3) requires a modification of more than \$500,000 is subject to Board of Supervisors approval.

**BACKGROUND**

Northpointe's Correctional Officer Management Profiling for Alternative Sentencing (COMPAS) system is a proprietary software and training system. The system is designed to measure a variety of criminogenic needs (i.e., dynamic factors that directly relate to a likelihood to reoffend) and criminal history information to provide risk and needs assessments for individuals with justice system involvement. COMPAS assessments are used by the San Francisco Adult Probation Department to inform comprehensive presentence investigation reports ordered by the Court and to recommend behavioral health and reentry services likely to reduce recidivism.

**Contract History**

In March 2011, the Adult Probation Department (ADP) entered into a contract with Northpointe for licensing, support, and maintenance of the COMPAS system for a term of five years, from March 7, 2011 through March 6, 2016, with one 4-year option to extend through March 6, 2020, and an amount not to exceed \$679,300. In August 2012 and January 2013, ADP executed the First and Second Amendments to the contract, amending the contract milestones and payment schedule, with no change to the contract term or not-to-exceed amount. In June 2013, ADP executed the Third Amendment to the contract, increasing the not-to-exceed amount to \$768,950, with no change to the contract term. In March 2016, ADP executed the Fourth Amendment to the contract, extending the term by five years through March 7, 2021, with no change to the not-to-exceed amount. Neither the original contract nor any amendments required Board of Supervisors approval because the contract did not exceed 10 years or \$10 million.

The original contract with Northpointe provided for the delivery of a Risk/Needs Assessment tools and Case Management System to the City. Northpointe successfully implemented the Risk/Needs Assessment tool but failed to deliver the Case Management System. In 2015, a settlement agreement was negotiated at the business level by both parties' legal teams. In July 2015, the Board of Supervisors approved the settlement with Northpointe, agreeing to receive alternative deliverables from Northpointe, valued at \$1,232,101, and extending the term by five years, as executed in the Fourth Amendment (File 15-0636).

On March 7, 2021, ADP executed the Fifth Amendment to the Northpointe contract, extending the term by one year through March 7, 2022, with no change to the not-to-exceed amount. The Fifth Amendment requires Board of Supervisors approval because it extends the total contract term beyond 10 years. According to ADP Acting Chief Financial Officer Verónica Martínez, the Department intended to seek Board of Supervisors approval before the contract expired, but was unable due to administrative delays, including required approvals from the Office of Contract Administration, Department of Technology, and City Attorney's Office.

**Sole Source Waiver**

Administrative Code Section 21.1 requires competitive solicitation for commodities and services, and Administrative Code Section 21.5 allows for sole source procurements in accordance with the City Purchaser's regulations. Furthermore, Administrative Code Section 21.9 limits any contract to a term of no more than 10 years. In March 2021, the Office of Contract Administration approved a sole-source waiver for the contract due to the proprietary nature of the COMPAS system. ADP intends to procure a new risk assessment software system and award a contract before the proposed Amendment No. 5 expires on March 7, 2022.

**DETAILS OF PROPOSED LEGISLATION**

The proposed resolution would retroactively approve the Fifth Amendment to the contract between ADP and Northpointe, extending the term by one year through March 7, 2022. Other material terms of the contract would not change. The proposed resolution states the total not to exceed amount of the Northpointe contract is \$768,950; however, the proposed Fifth Amendment does not specify the total contract not-to-exceed amount but rather in Section 19 states that the guaranteed maximum price is \$36,225, which according to Appendix B of the proposed Fifth Amendment is for the period from March 8, 2021 through March 7, 2022. This replaces the Section 19 inserted in the Third Amendment, which had set the not-to-exceed amount as \$768,950.

The scope of work under the proposed Fifth Amendment would continue to be the support and maintenance of the COMPAS system. Under the existing contract, in 2015 ADP purchased approximately 150 perpetual licenses to access and use the COMPAS system. The proposed Fifth Amendment extends the system maintenance of the web interface through March 7, 2022.

**FISCAL IMPACT**

The proposed Fifth Amendment states that payment to Northpointe for the one-year extension period is \$36,225. The contract is funded by the City's General Fund.

According to Adult Probation staff, total expenditures are \$258,361 through the initial 10-year contract term. Therefore, total estimated contract expenditures are \$294,586, or approximately \$474,364 less than the not-to-exceed amount of \$768,950. According to ADP Acting Chief Financial Officer Martínez, contract underspending is due to Northpointe's failure to deliver the Case Management System. Because total contract expenditures are estimated to be \$294,586, the Budget and Legislative Analyst recommends amending the proposed resolution to reduce the contract not-to-exceed amount by \$468,950, from \$768,950 to \$300,000.

**POLICY CONSIDERATION**

COMPAS is widely used in the United States, including California. The California Department of Corrections and Rehabilitation (CDCR), the State agency that administers the prison system, uses COMPAS. In 2010, University of California, Los Angeles-affiliated researchers hired by the CDCR published an analysis that assessed the accuracy of COMPAS in predicting recidivism (whether parolees had been re-arrested within two-years of release). The analysis found that COMPAS

generally predicted recidivism accurately but did not achieve the accuracy threshold used in the study for predicting violent recidivism.<sup>1</sup> In January 2019, the California State Auditor published a performance audit that found CDCR had not validated COMPAS since 2010 and, given the changes to prison population since that time,<sup>2</sup> recommended that the CDCR revalidate the accuracy of COMPAS by January 2020 and every five years.<sup>3</sup> As of this writing, the CDCR revalidation study of COMPAS is expected by end of 2021.

According to ADP Acting Chief Financial Officer Martínez, ADP completed a local validation study in 2016, which showed that the COMPAS scores are correlated with recidivism for ADP's client population. Given that ADP intends to procure a new risk and needs assessment system, the Department has not planned for an additional validation study of COMPAS.

## RECOMMENDATIONS

1. Amend the proposed resolution to reduce the not-to-exceed amount from \$768,950 to \$300,000 to reflect historical and projected expenditures.
2. Approve the resolution, as amended.

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<sup>1</sup> Farabe, Zhang, Roberts, & Yang, *COMPAS Validation Study*, August 15, 2010.

<sup>2</sup> To reduce the State's prison population, in 2011, Assembly Bill 109 (Public Safety Realignment) was passed, which reduced prison sentences and expanded local post-release supervision of offenders.

<sup>3</sup> California State Auditor, "California Department of Corrections & Rehabilitation: Several Poor Administrative Practices Have Hindered Reductions in Recidivism and Denied Inmates Access to In-Prison Rehabilitation Programs", Report 2018-113. January 2019.

**Office of Contract Administration  
Purchasing Division**

**Fifth Amendment**

THIS AMENDMENT ("Amendment") is made as of **March 7, 2021**, in San Francisco, California, by and between **Northpointe Software, Inc.** ("Contractor"), and the City and County of San Francisco, a municipal corporation ("City"), acting by and through its Director of the Office of Contract Administration.

**RECITALS**

WHEREAS, City and Contractor have entered into the Agreement (as defined below); and

WHEREAS, City and Contractor desire to modify the Agreement on the terms and conditions set forth herein to extend the term of the agreement for support and maintenance only;

NOW, THEREFORE, Contractor and the City agree as follows:

**1. Definitions.** The following definitions shall apply to this Amendment:

**1a. Agreement.** The term "Agreement" shall mean the Agreement dated **March 7, 2011** between Contractor and City, as amended by the:

- |  |                                |
|--|--------------------------------|
| <b>1. Assignment &amp; Assumption,</b> | dated <b>January 23, 2012,</b> |
| <b>2. First amendment,</b>             | dated <b>August 30, 2012,</b>  |
| <b>3. Second amendment,</b>            | dated <b>January 14, 2013,</b> |
| <b>4. Third amendment,</b>             | dated <b>June 1, 2013,</b>     |
| <b>5. Fourth amendment,</b>            | dated <b>March 8, 2016</b>     |
| <b>6. Fifth amendment,</b>             | dated <b>March 7, 2021.</b>    |

**1b. Contract Monitoring Division.** Effective July 28, 2012, with the exception of Sections 14B.9(D) and 14B.17(F), all of the duties and functions of the Human Rights Commission under Chapter 14B of the Administrative Code (LBE Ordinance) were transferred to the City Administrator, Contract Monitoring Division ("CMD"). Wherever "Human Rights Commission" or "HRC" appears in the Agreement in reference to Chapter 14B of the Administrative Code or its implementing Rules and Regulations, it shall be construed to mean "Contract Monitoring Division" or "CMD" respectively.

**1c. Other Terms.** Terms used and not defined in this Amendment shall have the meanings assigned to such terms in the Agreement.

**2. Modifications to the Agreement.** The Agreement is hereby modified as follows:

**2a. Section 3.** Section 3 ("Term of the Agreement; City Options") is replaced in its entirety as follows:

**3. Term of the Agreement; City Options:** Subject to Board Approval acting in its sole discretion, the City hereby exercises its option to extend the term of this Agreement for **maintenance and support of the Northpointe Suite Perpetual License for an additional period of one (1) year, through March 7, 2022,** unless sooner terminated in accordance with the provisions of Section 14: Term and Termination/Termination for Convenience, and/or Appendix A.I: Statement of Work, and Attachment 1: Settlement Agreement and Full and Final Release thereto.

**2b. Section 19. Section 19 (“Payment”) is replaced in its entirety as follows:**

**19. Payment.** Compensation for one year of additional maintenance and support of the Northpointe Suite Perpetual License shall be due and payable within 30 days of the date of invoice. In no event shall the Guaranteed Maximum Price (GMP) of this Agreement exceed **THIRTY SIX THOUSAND TWO HUNDRED TWENTY FIVE Dollars (\$36,225)**. The breakdown of costs associated with this Agreement is provided for in Appendix B: Calculation of Charges, attached hereto and incorporated herein by reference. All maintenance charges shall be paid annually in advance. In no event shall the City be liable for interest or late charges for any late payments.

**2c. Section 23 (“Taxes”). Section 23.a. (“Withholding”) is hereby added to Section 23 (“Taxes”) as follows:**

**23.a. Withholding.** Contractor agrees that it is obligated to pay all amounts due to the City under the San Francisco Business and Tax Regulations Code during the term of this Agreement. Pursuant to Section 6.10-2 of the San Francisco Business and Tax Regulations Code, Contractor further acknowledges and agrees that City may withhold any payments due to Contractor under this Agreement if Contractor is delinquent in the payment of any amount required to be paid to the City under the San Francisco Business and Tax Regulations Code. Any payments withheld under this paragraph shall be made to Contractor, without interest, upon Contractor coming back into compliance with its obligations.

**2d. Section 42. Section 42 (“Limitations on Contributions”) is replaced in its entirety as follows:**

**42. Limitations on Contributions.** By executing this Agreement, Contractor acknowledges its obligations under section 1.126 of the City’s Campaign and Governmental Conduct Code, which prohibits any person who contracts with, or is seeking a contract with, any department of the City for the rendition of personal services, for the furnishing of any material, supplies or equipment, for the sale or lease of any land or building, for a grant, loan or loan guarantee, or for a development agreement, from making any campaign contribution to (i) a City elected official if the contract must be approved by that official, a board on which that official serves, or the board of a state agency on which an appointee of that official serves, (ii) a candidate for that City elective office, or (iii) a committee controlled by such elected official or a candidate for that office, at any time from the submission of a proposal for the contract until the later of either the termination of negotiations for such contract or twelve months after the date the City approves the contract. The prohibition on contributions applies to each prospective party to the contract; each member of Contractor’s board of directors; Contractor’s chairperson, chief executive officer, chief financial officer and chief operating officer; any person with an ownership interest of more than 10% in Contractor; any subcontractor listed in the bid or contract; and any committee that is sponsored or controlled by Contractor. Contractor certifies that it has informed each such person of the limitation on contributions imposed by Section 1.126 by the time it submitted a proposal for the contract, and has provided the names of the persons required to be informed to the City department with whom it is contracting.

**3. Effective Date.** March 7, 2021 is the effective date of this Amendment.

**4. Legal Effect.** Except as expressly modified by this Amendment, all of the terms and conditions of the Agreement shall remain unchanged and in full force and effect.

IN WITNESS WHEREOF, Contractor and City have executed this Amendment as of the date first referenced above.

**CITY**

Recommended by:

/s/

---

Karen L. Fletcher  
Chief Adult Probation Officer  
Adult Probation

Approved as to Form:

Dennis J. Herrera  
City Attorney

By: /s/  
Louise Simpson  
Deputy City Attorney

Approved:

/s/

---

Sailaja Kurella  
Acting Director of the Office of Contract  
Administration, and Purchaser

**CONTRACTOR**

NORHTPOINTE SOFTWARE, INC.

/s/

---

Chris Kamin  
General Manager

Northpointe Software, Inc.  
1764 Forest Ridge Drive, Suite A  
Traverse City, MI 49686

City vendor number: 0000014104

## Appendix B—Calculation of Charges



1764 Forest Ridge Drive Suite A  
Traverse City, MI 49686  
Phone: 888.221.4615  
[www.equivant.com](http://www.equivant.com)

## Quote

Quote: SANFRACA20210122R1  
Date: January 28, 2021  
Valid Through: February 27, 2021

### Prepared for:

Agency: San Francisco Adult Probation Department  
880 Bryant Street  
Room 200  
San Francisco, CA 94103  
  
Contact: Ms. Karen L. Fletcher, Chief Adult Probation Officer  
Email: [karen.fletcher@sfgov.org](mailto:karen.fletcher@sfgov.org)  
Project: Northpointe Software Maintenance, Fourth Amendment - 6th year.

|  | Qty | Unit Price  | Total              | Initial<br>Acceptance |
|--|-----|-------------|--------------------|-----------------------|
| <b>ANNUAL MAINTENANCE AND SUPPORT</b>                                      |     |             |                    |                       |
| <u>Term: March 8, 2021 through March 7, 2022</u>                           |     |             |                    |                       |
| Northpointe Suite/COMPAS and Web Service Interface Support and Maintenance | 1   | \$36,225.00 | \$36,225.00        |                       |
| <b>Subtotal, Software Licenses, Maintenance and Support</b>                |     |             | <b>\$36,225.00</b> |                       |
| <b>GRAND TOTAL</b>   |     |             | <b>\$36,225.00</b> |                       |

### Notes

- 1 Year 6 Pricing is pursuant to the FOURTH AMENDMENT between Northpointe Inc. and the City and County of San Francisco effective 3/8/2016.
- 2 To continue with the Northpointe Software License and Maintenance per the FOURTH AMENDMENT, this quotation must be signed and returned prior to February 25, 2021.
- 3 Each line item must be initialed indicating acceptance of each product/service.
- 4 This quotation is contingent on the execution of a new agreement/amendment extending terms through 3/7/2022.

By signing below and initialing above, the San Francisco Adult Probation Department accepts the terms of this quotation.

|   |   |
|---|---|
| Accepted:   |   |
| <div style="text-align: center;"> <div style="display: flex; justify-content: space-between; width: 100%;"> <span>Signature</span> <span>Date</span> </div> <div style="text-align: center; margin-top: 10px;"> <div style="display: flex; justify-content: space-between; width: 100%;"> <span>Print Name and Title</span> <span>Feb 3, 2021</span> </div> </div> </div> | <div style="text-align: center;"> <div style="display: flex; justify-content: space-between; width: 100%;"> <span>Signature</span> <span>Date</span> </div> <div style="text-align: center; margin-top: 10px;"> <div style="display: flex; justify-content: space-between; width: 100%;"> <span>Print Name and Title</span> <span>Feb 3, 2021</span> </div> </div> </div> |

By Signing below, the San Francisco Adult Probation Department declines to continue with the Northpointe Software and Services effective 3/7/2021. Should this quotation be declined, new pricing will be in effect for any future contracts.

|  |  |
|--|--|
| Declined:  |  |
| <div style="text-align: center;"> <div style="display: flex; justify-content: space-between; width: 100%;"> <span>Signature</span> <span>Date</span> </div> <div style="text-align: center; margin-top: 10px;"> <div style="display: flex; justify-content: space-between; width: 100%;"> <span>Print Name and Title</span> </div> </div> </div> | <div style="text-align: center;"> <div style="display: flex; justify-content: space-between; width: 100%;"> <span>Signature</span> <span>Date</span> </div> <div style="text-align: center; margin-top: 10px;"> <div style="display: flex; justify-content: space-between; width: 100%;"> <span>Print Name and Title</span> </div> </div> </div> |

Questions, please contact: Chris Kamin at 608.416.4302 or email at [chris.kamin@equivant.com](mailto:chris.kamin@equivant.com)

1764 Forest Ridge Drive | Traverse City, MI 49684 | 888.221.4615 | 231.938.5995 FAX



COPY

City and County of San Francisco  
Office of Contract Administration  
Purchasing Division  
City Hall, Room 430  
1 Dr. Carlton B. Goodlett Place  
San Francisco, California 94102-4685

AGREEMENT  
BETWEEN THE CITY AND COUNTY OF SAN FRANCISCO AND

**Northpointe Institute for Public Management**

This agreement (the "Agreement") is made this 7th day of March, 2011, in the City and County of San Francisco, State of California, by and between: Northpointe Institute for Public Management, hereinafter referred to as "Contractor," and the City and County of San Francisco, a municipal corporation, hereinafter referred to as "City," acting by and through its Director of the Office of Contract Administration, hereinafter referred to as "Purchasing".

**Recitals**

WHEREAS, the San Francisco Adult Probation Department wishes to license certain software from Contractor which will be further configured and developed to meet the department's needs, giving the department the option to purchase a perpetual license to use the final developed product; and,

WHEREAS, Contractor represents and warrants that it is qualified to provide such software and services required by City as set forth under this Agreement.

Now, THEREFORE, the parties agree as follows:

1. **Definitions.** Where any word or phrase defined below, or a pronoun used in place thereof, is used in any part of this Agreement, it shall have the meaning herein set forth.

|                                  |   |
|----------------------------------|---|
| <b>Acceptance of the Project</b> | Notice from the City to Contractor that the Licensed Software meets the specifications contained in the Documentation. City's Acceptance of the Licensed Software shall be governed by the procedures set forth in Section 9 (System Acceptance and Acceptance Plan). |
|----------------------------------|---|

|                            |  |
|----------------------------|--|
| <b>Acceptance Criteria</b> | Specific details accompanying each stated Requirement, indicating the methods of measurement and expected results of Verification and Validation of that Requirement's satisfaction by Contractor. |
|----------------------------|--|

|                        |   |
|------------------------|---|
| <b>Acceptance Plan</b> | A sub-plan component of the Project Narrative Plan documents, that defines and describes the elements which define Acceptance of the Project by the City. |
|------------------------|---|

|  |  |
|--|--|
| <b>Acceptance Test Plan</b>                      | A sub-plan of the Project Verification and Validation Plan that describes the procedures to be used to test the Licensed Software application system for fitness for satisfaction of requirements and fitness for operational use, as a condition of Acceptance of the project deliverables by the City, as provided in accordance with Appendix A.  |
| <b>Administrator (or "System Administrator")</b> | A person assigned by Contractor or City whose full or part-time job responsibility is to oversee the department level maintenance and support of the Licensed Software.  |
| <b>Agile Development Methodology</b>             | Method relies on short "sprints" in which requirements are gathered and prioritized quickly, and the working software is developed, including only those requirements. Once the work product is tested, notes from the results and further requirements elicitation provide the input for the next iteration of development or "sprint." This iterative process allows more flexibility for changes as design flaws surface, problems occur, or better options are discovered throughout the lifecycle of the project. Once the deliverable product is deemed completed, the additive requirements list is used to verify and validate the product for acceptance. |
| <b>Agreement</b>                                 | This document and any attached appendices and exhibits, including any future written and executed amendments.  |
| <b>Application</b>                               | A specialized type of computer program that performs specific system functions involved in entering, updating, displaying and printing operational and statistical data about the operations of the San Francisco Adult Probation Department.  |
| <b>Authorization; Authorization document</b>     | This Agreement, a Blanket Purchase Order, Contract Order, or Purchase Order of the City, properly executed by the San Francisco Adult Probation Department and Purchasing, and certified by the Controller for the specific funding of this Agreement or any modification thereof.   |
| <b>City's Project Manager</b>                    | The individual specified by the City pursuant to Section 5(b) hereof, as the Project Manager authorized to administer this Agreement on the City's behalf.   |
| <b>Commercial Off The Shelf Software (COTS)</b>  | Computer software, hardware, technology, or computer products, which are ready-made and available for sale, lease, or license to the general public.   |
| <b>COMPSTAT</b>                                  | COMPUter STATistics or COMParative STATistics is the New York City Police Department's accountability process which consists of a management philosophy or organizational management tool for agencies.  |

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| <b>Configuration</b>  | Modifications of the COMPAS 8 Suite that are designed to be made or "set" by the User or System Administrator, such as customer-specific screen titles, field names, items in a "droplist," etc.   |
| <b>Contractor's Project Manager</b>                         | The individual specified by Contractor pursuant to Section 5(b) hereof, as the Project Manager authorized to administer this Agreement on Contractor's behalf.   |
| <b>Data Conversion Plan</b>                                 | The formal plan to be prepared by Contractor, with the City support, that identifies the data conversion elements including schedule, information, personnel, and any other items agreed upon as integral to the conversion of existing systems data to the configured databases by the City's Project Manager and the Contractor's Project Manager.   |
| <b>Deliverables</b>   | Those items described and itemized in Appendix A which Contractor commits to provide to the City on the dates specified in the Project Verification and Validation Plan.   |
| <b>Design Review</b>  | The process by which the City reviews and approves the Detailed Design documents covering the configured hardware and software.  |
| <b>Design Review Report</b>                                 | A formal report of the outcome of the Design Review, listing any discrepancies, departures from Projective Narrative Plan, or other issues affecting Project delivery that were discovered during the Design Review. Used as input to update the Project Requirements Specification and Tracking Matrix of the V&V Plan.   |
| <b>Designated CPUs</b>                                      | Any central processing unit or attached processor complex, including its peripheral units, described in the Authorization Document. The Applications in criminal justice are intended to be available on a twenty-four hour per day, 7 day a week basis (24 X 7). Therefore, the application and the current data need to be on a second CPU, which is designed to take over processing if and when the first CPU system fails (failover). Additional CPUs are required for off-site protection in case of fire, sabotage, earthquake, floods or other calamities were to cause the primary CPUs to malfunction. |
| <b>Design Document</b>                                      | The deliverable document, in whole or parts, provided by the Contractor to document the Design Specification. The detailed Design Document shall be reviewed and approved by the City.   |
| <b>Documentation</b>  | The technical publications relating to the use of the Licensed Software, such as reference, installation, administrative and programmer manuals, provided by Contractor to City.   |
| <b>Errors, Defects and Malfunctions or Technical Issues</b> | A deviation between the function of the Software or hardware or System infrastructure, and the specified required functionality as described and defined in the Requirements Specification and Tracking Matrix of the Project V&V Plan, Design Documents or the  |

documentation furnished by Contractor for the Software; or a failure of the Software or hardware or infrastructure which degrades the use of the Software or hardware or System infrastructure.

**Final Acceptance Date**

The date on which the City signs the Final V&V Report to indicate full Acceptance of the Project.

**Final Iteration Release**

The ultimate release of the developed Software Application for Acceptance testing, as described by the Contractor. This release must contain all required elements and functionality of Phases I, II and III of the Agreement, and be complete in all ways specified by the Project Narrative and V&V Plans and the attendant Requirements Specification and Tracking Matrix.

**Fix**

Repair or replacement of source, object or executable code in the Software to remedy an Error, Defect or Malfunction.

**Force Majeure**

An event beyond the reasonable control of either party, such as acts of God, acts of civil or military authority, fires, strikes, epidemics, quarantine, war, riot, delays in transportation, care shortages, and inability due to causes beyond Contractor's reasonable control to obtain necessary labor, materials or manufacturing facilities.

**Go Live (and Go Live sub-plan)**

The point at which the City approves Contractor's initiation of the System, or a phase of the Project, to a production status, and the City commences operational use of the System. At the completion of Go Live, the City may terminate use of the current Software System it uses. The process of preparation for, and implementation of, Go Live is detailed in the Go Live sub-plan of the Project V&V Plan.

**Instance (of a software application)**

A separate, "stand-alone" version of a software application or database, allowing individually secured access for a specified group of users. There may be several separate "instances" of a software application on a server, to allow development changes to one instance, testing of those changes on another, while a third is used in production. This prevents changes to one instance affecting the function of the others, while the parallel existence of three or more versions of the system is useful to developers, while not interrupting production work by users.

**Iteration (of development)**

In the Agile method of software development, a series of successive repetitions of gathering requirements, creating design documents, developing, releasing and testing increasingly robust versions of functional software. Each successive iteration's product contains the additive sum of all requirements specified to that point in the project, and any "lessons learned" from the previous iteration. Iteration of development continues until all project requirements are satisfied and the final released product is accepted by the customer as complete.

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| <b>JUSTIS</b>            | <b>JUSTice Tracking Information System</b> – An integrated criminal justice information system serving participating criminal justice agencies in San Francisco. (San Francisco Administrative Code section 2A.85)   |
| <b>JUSTIS SDLC</b>       | The JUSTIS " <u>S</u> ystem <u>D</u> elivery <u>L</u> ife <u>C</u> ycle." This is a standardized project delivery methodology, formally adopted by the JUSTIS Council and based on a synthesis of information technology industry standards and recommended best practices for the selection, planning, construction, implementation and delivery to operational status of computerized information systems projects. All projects approved for funding by the JUSTIS Council are required to follow the guidelines of this methodology. |
| <b>Licensed Software</b> | COMPAS 8 Suite with Case Manager (also "COMPAS 8 Suite," "COMPAS," "COMPAS Case Manager"). Contractor's "COMPAS 8 Suite with Case Manager" includes, at signing of this Agreement, all of the applications/modules for adult probation assessment and case management listed in Section 7.1, "The Licensed Software," of Appendix A and, at Acceptance of this Project, all of the required enhancements, modifications or tailoring as described in the Requirements Specification and Tracking Matrix of the Project V&V Plan.         |
| <b>Module</b>            | Different subcomponents of an Application, described in Appendix A in the context of this Agreement. These constitute features and functions that taken together constitute a component of an Application.   |
| <b>Object code</b>       | Machine readable compiled form of Licensed Software to be provided by Contractor.  |
| <b>Patch</b>             | Temporary repair or replacement of code in the Software to remedy an Error, Defect or Malfunction. Patches may be made permanent and released in Subsequent Releases of the Software.  |
| <b>Priority Category</b> | A priority assigned to an Error, Defect or Malfunction, designating the urgency of correcting an Error, Defect or Malfunction. Assignment of a Priority Category to an Error, Defect or Malfunction is based on City's determination of the severity of the Error, Defect or Malfunction and Contractor's reasonable analysis of the priority of the Error, Defect or Malfunction.   |
| <b>Priority Protocol</b> | Based on the Priority Category, rules specifying the turnaround time for correcting Errors, Malfunctions and Defects; escalation procedures, and personnel assignment.   |

**(The) Project**

The intended work described in and planned, or expected, to be undertaken under this Agreement.

**Project Verification and Validation Plan**

The Project Verification and Validation Plan ("V&V Plan") defines the methods and procedures to be used to verify, or assure the physical presence of, a required element, and to validate, or test, the element's functionality or other quality for correctness, according to requirement specifications and Acceptance Criteria. The Project V&V Plan also contains the Project Requirements Specification and Tracking Matrix, the Acceptance Test Plan and the Go Live sub-plan, as well as prepared checklists for use in V&V activities.

**Project Final Verification and Validation Report**

The Final Verification & Validation Report ("Final V&V Report") documents all activities undertaken to verify and validate each project requirement's satisfaction of its Acceptance Criteria. Any noted discrepancies or departures from the Project Narrative Plan or V&V Plan are documented here, with justification, if appropriate, and details of the plan for their remediation. All completed checklists used for V&V are included as attachments. Once all Project requirements are documented as completed and satisfied, and within 90 days following Go Live and commencement of production use, a Final Project V&V Checklist is completed by Contractor and City to ensure that all required Project elements have been completed and delivered as planned, and signatory acceptance of the Final V&V Report will indicate acceptance and closure by the City of the Project.

**Project Requirements Specification documents**

Each successive development iteration will begin with requirements gathering meetings, followed by the provision of a Project Requirements Specification document by the Contractor that must each be approved by the City, prior to commencement of development of the next iteration. Each requirement in the document shall be accompanied by Acceptance Criteria, stating the method and expected result for testing the satisfaction of that requirement during final V&V activities.

**Project Requirements Specification and Tracking Matrix**

A table contained in the Project V&V Plan, wherein all project requirements and their Acceptance Criteria are documented, controlled and maintained current by the City Project Manager for the purposes of traceability and a single source of definitive information regarding project requirements, throughout the Project lifecycle, and as a basis for Final Verification and Validation activities for Acceptance of the Project's deliverables.

**Review Period**

The time period specified in Appendix A and the Project Verification and Validation Plan during which the City shall review the completed Work and give notice to Contractor of its Acceptance or rejection of the completed phase.

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| <b>Software</b>                                     | Licensed programs and associated documentation licensed to City by Contractor, as listed in Exhibit A and any modification or Upgrades or modifications to the program(s) provided under this Agreement.  |
| <b>Subsequent Release</b>                           | A release of the Software for testing or use in a particular operating environment which supersedes the Software. A Subsequent Release is offered and expressly designated by Contractor as a replacement to a previous release of a specified Software product. A Subsequent Release will be supported by Contractor in accordance with the terms of this Agreement. Multiple Subsequent Releases may be supported by Contractor at any given time.  |
| <b>Support Services</b>                             | The Software support service required under this Agreement. Support Services include correcting an Error, Defect or Malfunction; providing telephone and/or online support concerning the installation and use of the Software; training in the installation and use of the Software; on-site consulting and application development services; detection, warning and correction of viruses; and disabled/disabling code.   |
| <b>Source code</b>                                  | The human readable compliable form of the Licensed Software to be provided by Contractor.   |
| <b>Contractor's Minimum Hardware Specifications</b> | Contractor's recommendations for the minimum computer server and client hardware configuration and capabilities required to support proper function and operation of their software product.  |
| <b>Stakeholders</b>                                 | Persons with a vested interest in, or whose work or computer systems will be directly or indirectly affected by, the outcome and products of this project, and whose input will be desired by City during requirements definition and design of the project deliverables.   |
| <b>System</b>                                       | The Licensed Software and associated enhancements and interfaces furnished by Contractor for the City and the Equipment on which such software operates, the combination of which shall satisfy the requirements set forth in the Performance Specifications.   |
| <b>System Assurance (System Certification)</b>      | The process by which Contractor's technicians examine the completed computer System and Software Application, as installed on the City's server, against their published specifications for configuration and setup for operational use, and certify in writing that all current Software and hardware configuration settings meet or exceed their minimum requirements for commencement of successful operational use. This activity is typically performed as one of the last steps of the Go Live process. |

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| <b>Update</b>          | A revision of the Software released by Contractor to its end user customers receiving maintenance and support services from Contractor. "Update" does not include the release of a new product or added features for which Contractor generally imposes a separate charge.  |
| <b>Upgrade</b>         | Either an enhancement to the Software code to add new features or functions to the system or software programming revisions containing corrections to Errors, Defects and Malfunctions that have been reported by users or discovered by the Contractor.  |
| <b>User</b>            | A person who has been given, by the City System Administrator, appropriate security access to a computer system to enable their use of the system in their daily work.  |
| <b>Warranty Period</b> | A period commencing with the installation and Final Acceptance of the developed Application during which reported Errors, Defects and Malfunctions for Software products are corrected without charge in accordance with the provisions below.  |
| <b>Work</b>            | The implementation, assembly, installation, optimization, and integration as required by this Agreement, whether completed or partially completed, including all labor, materials, and services provided, or to be provided by Contractor to fulfill Contractor's obligations hereunder. The Work, therefore, constitutes all of the requirements for providing the System to the City. |
| <b>Workaround</b>      | A change in the procedures followed or end user operation of the software to avoid an Error, Defect or Malfunction without significantly impairing functionality or degrading the use of the Software.  |

Whenever the words "as directed," "as required," "as permitted," or words of like effect are used, it shall be understood as the direction, requirement, or permission of the San Francisco Adult Probation Department. The words "sufficient," "necessary," or "proper," and the like, mean sufficient, necessary or proper in the judgment of the San Francisco Adult Probation Department, unless otherwise indicated by the context.

**2. Certification of Funds; Budget and Fiscal Provisions; Termination in the Event of Non-Appropriation.** This Agreement is subject to the budget and fiscal provisions of the City's Charter. Charges will accrue only after prior written authorization certified by the Controller, and the amount of City's obligation hereunder shall not at any time exceed the amount certified for the purpose and period stated in such advance authorization. This Agreement will terminate



without penalty, liability or expense of any kind to City at the end of any fiscal year if funds are not appropriated for the next succeeding fiscal year. If funds are appropriated for a portion of the fiscal year, this Agreement will terminate, without penalty, liability or expense of any kind at the end of the term for which funds are appropriated. City has no obligation to make appropriations for this Agreement in lieu of appropriations for new or other agreements. City budget decisions are subject to the discretion of the Mayor and the Board of Supervisors. Contractor's assumption of risk of possible non-appropriation is part of the consideration of this Agreement.

THIS SECTION CONTROLS AGAINST ANY AND ALL OTHER PROVISIONS OF THIS AGREEMENT.

### **3. Term of the Agreement; City Options.**

a. **Term of the Agreement.** Subject to Section 6 (License), the license granted under this Agreement shall commence upon the Effective Date of the Agreement and shall continue for a period of five (5) years, as outlined in Appendix B, *Calculation of Charges*, unless sooner terminated in accordance with the provisions of this Agreement. Upon the Effective Date of this Agreement, Contractor shall grant web based access to its COMPAS Application to an unlimited number of Users of the San Francisco Adult Probation Department for the duration of the Licensed Software's configuration and development period (as detailed in Appendix A, *Statement of Work*). Upon final acceptance of the Licensed Software (issuance and signing, by both City and Contractor, of the Final Verification and Validation Report), the 365 day Warranty Period shall commence. At the expiration of the Warranty Period, the Software Maintenance and Support Services will start for a period of three years or until the term of the license expires, whichever ever occurs first.

b. **City Options.** City shall, in addition, have the right to exercise either of the following options at City's sole and absolute discretion:

(1) To extend the Software Licensing, Software Maintenance and Support Services for up to four (4) additional years, so that the total term of the Agreement does not exceed nine years, at the price per year equal to the price under the fifth year of the current Agreement; or

(2) To extend the Agreement by purchasing a perpetual license for a one-time fee of three hundred and thirty thousand dollars and no cents (\$330,000.00), which price shall include the Software Maintenance and Support for the year of purchase. City shall have the option to extend the Software Maintenance and Support Services for up to four (4) additional years. Ongoing maintenance and support fees shall be charged on a yearly basis at a rate of thirty thousand dollars and no cents (\$30,000.00) with an annual increase in each year not to exceed 5% of the previous year's fee. These maintenance and support fee increases shall not exceed a total of 15% increase over any consecutive five year period.

4. **Effective Date of the Agreement.** This Agreement shall become effective when the Controller has certified to the availability of funds and Contractor has been notified in writing.

### **5. Project Administration**

a. **Project Schedule.** City shall draft, and with the Contractor's assistance, develop a detailed Project Narrative Plan and schedule as provided in Appendix A, the Scope of Work.

The Project Schedule is set forth in Appendix A which may be amended by mutual agreement between the City and Contractor.

1) **Delays.** To prevent or mitigate delays in the planned schedule for completion of the project, Contractor agrees that the assigned Contractor Project Manager will monitor all scheduled project activity and report, within 24 hours of discovery, to the City's Project Manager any current or projected issues that do, or may, have negative impact on project schedule. If such issues are within the scope of the Contractor's responsibility under this Agreement, Contractor agrees to implement appropriate measures to mitigate or eliminate the impact of those issues on the schedule.

2) **Time of the Essence.** The parties agree that time is of the essence, and that the System will be developed and implemented in accordance with the Project Schedule.

b. **Project Managers.** Contractor and the City shall each designate a Project Manager, who shall be accessible by telephone throughout the duration of the Agreement and shall be available from 9 a.m. to 5 p.m. Pacific Standard Time Monday through Friday, excluding weekends and holidays. These hours may be adjusted by mutual agreement of the City and Contractor.

The City's Project Manager will be authorized to make binding decisions for the City regarding this Agreement and will: (1) review all specifications, technical materials and other documents submitted by Contractor, request necessary corrections, and approve such documents; (2) provide requested City information and data and assume responsibility on the adequacy of the same; (3) advise Contractor of City's requirements; and (4) upon request provide access to City's staff, facility and hardware. City's Project Manager shall have the right to manage and direct any aspect of the project as may be necessary, in his or her opinion, to safeguard the interest of the City. City's Project Manager shall communicate all of his or her concerns to Contractor's Project Manager. In the event Contractor believes that any direction being given by City's Project Manager shall impair the performance of the project or any phase thereof, Contractor shall immediately inform City's Project Manager of its concern. Except as specifically provided under this Agreement, City's Project Manager's management of the project shall not relieve Contractor of any obligations or liabilities set forth in this Agreement and the Appendices thereto.

Throughout the term of this Agreement, whenever the Project Managers are not on site, he or she must be available by electronic means. Whenever the Project Managers will be unavoidably absent or otherwise unavailable by telephone or electronic pager for more than eight hours, then a substitute Project Manager must be designated to respond to contact from the City or Contractor. Contractor shall use its best efforts to maintain the same Project Manager until Final Acceptance of the System. The City may require Contractor to replace its Project Manager, by giving Contractor notification thereof and the City's objective reasons therefore.

**Contractor's Project Manager:**

Dan Hellem  
Technical Project Manager  
e-mail: dhellem@npipm.com  
231-938-5959

Work Tel:

**City's Project Manager:**

Bella Fudym

City Project Manager

e-mail: Bella.Fudym@sfgov.org

Work Tel:

(415) -558-2421

**c. Changing Project Managers.** The City and Contractor shall use their best efforts to maintain the same Project Manager until Final Acceptance of the System. However, if a party needs to replace its Project Manager, the party shall provide the other party written notice thereof at least forty-five (45) days prior to the date the Project Manager shall be replaced. Such notice shall provide all the required information above. Notwithstanding the foregoing, the parties have the right to appoint temporary Project Managers in connection with short term unavailability, sick leave or reasonable vacations. Parties shall notify each other of any such temporary appointments.

**d. Qualified Personnel/Staffing.** Work under this Agreement shall be performed only by competent personnel appropriately trained in technical skills to perform their duties under the supervision of and in the employment of, Contractor. Contractor will comply with the City's reasonable requests regarding assignment of personnel, but all personnel, including those assigned at the City's request, must be supervised by Contractor. The personnel of each party, when on the premises of the other, shall comply with the security and other personnel regulations of the party on whose premises such individual is located.

**e. Meetings.** From the commencement date of the project until the Final Acceptance of the System, the Project Managers shall meet a minimum of once each week either in person or via phone as designated by the City to discuss the progress of the Project. Until the Final Acceptance of the System, the Project Managers shall report, as required, to apprise City and Contractor executives of the Project status, the progress against plan, assessment of Project risks, critical issues and resolution plans, plus any operational problems or defects that the City or Contractor have encountered. The City shall have the right to call a meeting at any time by providing Contractor forty-eight (48) hours written notice thereof. Such notice shall provide the time, place, and the purpose of the meeting. Contractor and the City's Project team must be available to meet as often as is reasonably necessary to facilitate timely implementation of the System.

**f. Reports.** Contractor's Project Manager shall provide a top level bi-weekly progress report to the City's Project Manager, which summarizes overall Project status, lists meetings that are planned, problems encountered and risks or issues to be resolved.

**g. Inspection.** City's Project Manager shall have the right to inspect and/or test, at any time all Work, Deliverables, and materials to be provided for the Project, and the manufacture, assembly, and installation of such Deliverables and materials. City's Project Manager's inspection shall be based on compliance with this Agreement. City's Project Manager's right to

inspect all aspects of the Project shall not relieve Contractor of its obligation to furnish material and workmanship in accordance with this Agreement. City's Project Manager may reject any portion of the System which fails to meet any applicable standard.

**h. Defects Post-Inspection.** Any Work, Deliverables, or materials found to be non-compliant with the Agreement or defective before Final Acceptance of the System, such Work or Deliverables shall be repaired or replaced within a reasonable period of time by Contractor at its own cost and expense notwithstanding any previous inspection, Acceptance, or payment by the City for any such Work, Deliverables, or materials.

**i. Right to Stop Work.** City's Project Manager shall have the right to stop any work on the Project: (i) if the City notifies Contractor of a defect in the Work and after such notice, Contractor fails to promptly commence correction of any identified defects in the Work, (ii) if Contractor fails to carry out work relating to any portion of the System in accordance with this Agreement, or (iii) in the event of Force Majeure. All stop work orders from the City shall be in writing and signed by City's Project Manager. The City shall specifically state the cause for the order to stop work. Upon receiving a stop work order, Contractor shall immediately cease working on that portion of the Work specified in the order until the cause for such order has been eliminated. The City's right to stop any work on the System shall not give rise to a duty on the part of the City to exercise this right for the benefit of Contractor or any other person or entity. In the event City's Project Manager orders work to be stopped without proper justification, the City shall reimburse Contractor for the actual and direct costs incurred by Contractor due to the delay. Furthermore, Contractor will be entitled to a time extension equal to the number of days delay the City has caused due to the unjustified work stoppage. In no event will a stop work order extend beyond 30 days.

**j. City Facilities.** The City will provide facilities or equipment for Contractor's use during the term of the Agreement and the conditions upon which access will be granted.

## **6. Licensed Software**

**a. Grant of License.** Subject to the terms and conditions of this Agreement, Contractor grants to City a term, non-exclusive, non-transferable license, as described in Section 3a, "Term of the Agreement," to access and use the Licensed Software either by connection to Contractor's online hosting server during the course of the development project and prior to completion of the deliverables. Upon completion and acceptance of the Application deliverables of this Project, the Licensed Software shall be installed in the City's local server. City shall have access to the Licensed Software through any web-browser enabled computer given access by the City, so long as the total number of Users does not exceed the number of active individual licenses held by the City, except during the development project period where the City shall be allowed an unlimited number of Users. The user licenses are per user specific, one license one user and they are not to be shared. The licensing does not impact the number of servers or CPU's. The City is free to install the Application on multiple servers for disaster recovery, back up or redundancy purposes, testing/staging environments, training sites or other business needs at no extra charge. However, should additional individuals need access to the Application to perform those duties additional user licenses would need to be purchased. The City at any time may purchase additional user licenses to meet the needs of the City at the yearly per user fees indicated in

- 1) To use the programs provided by Contractor in whole or in any part thereof;
- 2) To train all users in the effective use of the Software;
- 3) To install, uninstall, or re-install the Software as many times as necessary to ensure that the programs are running properly;
- 4) To copy user manuals, for the exclusive use by City Users, in whole or in part and to make "cheat sheets" or other outlined material to assist users in learning or using the Software;
- 5) To receive upgrades, updates, bug fixes, new versions, supplements, or enhancements from Contractor within the provisions of any maintenance Agreements in force between City and Contractor.

Contractor agrees that in the event it discontinues its obligations under the terms of this Agreement, except as expressly provided for in Section 14 (Termination), or ceases to market and/or provide maintenance and support for the Licensed Software, and there is no successor in interest by merger, operation of law, assignment, purchase, or otherwise, it will provide City, without charge, one (1) working copy of the then-current Source Code for all of the programs and all supporting Documentation for the Licensed Software then operating and installed at City's locations. If City should obtain the Source Code and the Documentation pursuant to this section, the only use made of the Source Code and the Documentation will be for the proper maintenance of the Licensed Software in connection with City's use of the Licensed Software as provided for, and limited by, the provisions of this Agreement.

In furtherance of its obligations stated above, Contractor agrees to maintain Source Code for all products within an approved Software Code Escrow Repository organization and to provide the City with sufficient legal documentation, including identification of the City as a beneficiary of the Escrow thereby enabling access to Contractor Source code under established conditions. Contractor shall provide Code Escrow services at no cost to the City for all COTS products purchased by the City.

b. **Warranties: Right to Grant License.** Contractor warrants that Licensed Software furnished pursuant to this Agreement will, prior to its transfer to the City, be the sole and exclusive property of Contractor, or Contractor is properly licensed to issue sublicenses for third-party software applications or components integrated with, or provided as part of, the Licensed Software.

c. **Warranty of Performance.** Contractor hereby warrants that when fully implemented, the Licensed Software, including all enhancements and all external interfaces developed and provided under this Agreement shall perform in accordance with the Requirements Specifications applicable thereto on the Acceptance Date.

d. **Conformity to Specifications.** Contractor warrants that when the Licensed Software specified in the Authorization Document and all updates and improvements to the Licensed Software are delivered to City, they will be free from defects as to design, material, and

workmanship and will perform on the Designated CPUs in accordance with the Contractor's specifications for the Licensed Software for a period of 365 days from City's Acceptance of such Licensed Software.

e. **Year 2020 Warranty.** The Contractor warrants that the Licensed Software shall, without human intervention, accurately and reliably transition from the Year 2001 through the Year 2020 with the correct system date, including leap year calculations. Since many terms of probation will exceed 5 and 10 years into the future, the Licensed Software shall provide correct results when moving forward or backward in time through and beyond January 1, 2002. The Contractor's failure to comply with these Year 2020 requirements shall entitle City to a refund of three (3) times the total contract amount as liquidated damages, or Contractor may repair the program to comply with the requirement free of charge.

f. **Restrictions on Use.** City is authorized to use the Licensed Software only for City's internal purposes as specified in the Authorization Document. City agrees that it will, through its best efforts, not use or permit the Licensed Software to be used in any manner, whether directly or indirectly, that would enable any other person or entity to use the Licensed Software without a proper user license.

g. **Documentation.** Contractor shall provide City with the Licensed Software specified in the Authorization Document in electronic form via electronic download, and a minimum of two copies of the Documentation per installation. Contractor grants to City permission to duplicate all printed Documentation for City's internal use.

h. **Proprietary Markings.** City agrees not to remove or destroy any proprietary markings or proprietary legends placed upon or contained within the Licensed Software or any related materials or Documentation.

i. **Authorized Modification.** City shall also be permitted to develop, use and modify Application Program Interfaces (API's), macros and user interfaces. For purposes of this Agreement, such permitted development shall be deemed an authorized modification. Any such APIs, macros or other interfaces developed by the City shall become the property of the City.

Contractor has no general objection to the City's use of third party programs in conjunction with the software licensed under this Agreement. Contractor recognizes that City has and will license third party programs that City will use with Contractor's products. Based on information provided to Contractor as of the effective date, Contractor agrees that such use does not constitute an unauthorized modification or violate the licenses granted under this Agreement.

j. **Option for Free On-Line Access to COMPAS Application.** On completion and acceptance of all project deliverables, as specified in this Agreement, Contractor shall provide the option to all CCSF JUSTIS Program member departments to access, at no fee, the COMPAS on-line hosted Application for one year. This will allow other criminal justice City departments to access and test the Application for their own business use. Such option must be exercised through a written modification to this Agreement. Following the one-year of free access all those wanting access will need to purchase a user license at fees detailed in Appendix B, *Calculation of Charges*.

h. **Risk of Loss.** If any of the Licensed Software products are lost or damaged during shipment or before installation is completed, Contractor shall promptly replace such products, including the replacement of program storage media if necessary, at no additional

charge to the City. If any of the Licensed Software products are lost or damaged while in the possession of the City, Contractor will promptly replace such products, with the exception of program storage media, without charge, unless such products are supplied by the City.

## **7. Enhancements Development**

a. **Enhancements Development.** Subject to the terms and conditions of this Agreement, and in consideration for the payments to be made, Contractor agrees to follow the structured project process outlined in Appendix A, *Statement of Work*, for the development of enhancements to the Licensed Software.

b. **Data Conversion.** Contractor shall be responsible for the conversion of existing City data from its current location and state in the existing SF-APD system to the new Application System's database and for verification and validation of the converted data against the original source data for accuracy of conversion, as detailed in the Go Live Plan included in the Project Verification and Validation Plan. City will facilitate and provide access to Contractor to the SF-APD existing system's data during the Data Conversion task.

c. **Interpretation of the Requirements Specification.** The Contractor hereby acknowledges that the Requirements Specifications provided by Contractor and documented and maintained in the Project Verification and Validation Plan will, upon approval of the final version of these Requirements Specifications by the City, provide the basis for the final Verification, Validation and Acceptance of the Licensed Software, enhancements and interfaces being developed.

d. **Interpretive Differences.** In the event the City and Contractor differ in their interpretations of the Design Specifications or Acceptance Tests, the City's interpretation, if reasonable, shall be determinative.

e. **Parallel Operation.** The parties contemplate that, although the City will continue to use the current Adult Probation Department case management system for its daily operations while the planned new version of Licensed Software is under development, there will be simultaneous operational (Production) use by City of one Instance of the Contractor hosted online version of the COMPAS 8 Suite for probationer assessments and case management, in order to collect data for current projects as well as for future use in the new System, and to generate reports. In support of Go Live, the parties contemplate that elements of the System(s) to be delivered under this Agreement and the existing Production system located in the City will operate in parallel in Production, until such time as the City decides to terminate use of its existing System.

## **8. Delivery**

a. **Delivery.** One copy of the Licensed Software Application in downloadable computer readable form shall be made available to the City upon satisfactory performance of the COMPAS Application, all required external Application interfaces, enhancements and tailoring and other Application components described in Phases I, Phase II and Phase III (Appendix A, *Statement of Work*) and acceptance by City. Application is an intranet based system; Installation on city servers occurs through implementation by Contractor of Contractor scripts provided in install instruction documentation.

b. **Installation.** Contractor shall install, implement and assure the Licensed Software product and System as per the schedule shown in Appendix A, *Statement of Work*. "Install"

means to download the Application to the local server and activate it for use; "implement" means to set application and server configuration (administrator or user settable) settings such that the application may then be operationally used for testing or full production operation; "assure" means that, just prior to delivery to the City for testing or operational use, Contractor's technicians will verify and validate all of the installed System and Application configuration settings and required operating characteristics, using prepared checklists, and certify in writing that the installed and implemented System is ready for operational use for production.

c. **Risk of Loss.** If any of the Licensed Software products are lost or damaged during shipment or before installation is completed, Contractor shall promptly replace such products, including the replacement of program storage media if necessary, at no additional charge to the City. If any of the Licensed Software products are lost or damaged while in the possession of the City, Contractor will promptly replace such products without charge, except for program storage media, unless supplied by the City.

## **9. System Acceptance and Acceptance Plan**

a. **Acceptance Plan.** The City and Contractor shall collaboratively develop, and agree on the Acceptance Plan as detailed in Appendix A, *Statement of Work*. The Acceptance Plan establishes the performance standards and criteria by which the System, documents, and other contract Deliverable items will be Accepted by the City. The Project Narrative Plan, which includes the Implementation Plan and Acceptance Plan, shall be reviewed and approved by the City prior to implementation of the solution as defined in the Narrative Plan. The Acceptance Plan shall require that Acceptance of the project is contingent on successful completion of verification and validation of the satisfaction of all Project requirements and completion and delivery of all required deliverables, as detailed in the Project Verification and Validation Plan. Upon completion of each Deliverable, the City shall, within the Review Period as scheduled in the Project Narrative Plan, review and give notice to Contractor of the City's Acceptance or rejection of the specifications of each completed phase of Work. Should the City reject any Deliverable, then the City is entitled to another Review Period upon receipt from Contractor of the revised Deliverables. In the event that Contractor fails to provide a Deliverable which meets with approval and Acceptance by the City during the Project Acceptance phase of the Agreement, and a Final Verification and Validation Report fails to be issued, the City may, at its option, terminate this Agreement under Section 14(a), "Termination for Cause." The City may, in its discretion, provisionally accept contract Deliverables pursuant to the Acceptance Criteria. Cosmetic or minor imperfections shall not be cause for rejection or provisional acceptance of a Deliverable.

b. **Acceptance of System and Each Ancillary Component.** Upon completion of all phases identified in Appendix A, *Statement of Work*, the City and Contractor shall verify that all requirements in the Project Verification and Validation Plan have been completed. The City will not be deemed to have Accepted any Licensed Software or the System, or any ancillary component, until Contractor receives the Final Acceptance through the Final Verification and Validation Report from the City. Contractor must achieve final System Acceptance, in accordance with Appendix A, *Statement of Work*, within ninety (90) business days after completion of Phases 1, 2, & 3. City and Contractor will sign the Final V&V Report, evidencing Contractor's achievement of System Acceptance upon Acceptance of all phases and Contractor's furnishing all Deliverables required under the Agreement.



c. **Contractor's Assistance in Acceptance Tests.** Contractor must furnish all assistance necessary to conduct the Acceptance Tests.

d. **Failure to Pass Acceptance Tests.** In the event that City determines that the System fails to meet the standards set forth in the Project Verification and Validation Plan, City shall promptly report to Contractor each deficiency, and Contractor will correct the reproducible aspects of the problem or failure within 30 days from date of Contractor's receipt of notice of the problem or failure. Problems or failures that do not re-occur or cannot be repeated by Contractor, or by the City in Contractor's presence, shall not be considered a failure. In the event that Contractor cannot achieve System Acceptance within 90 days following the commencement of Acceptance Testing, Contractor shall be in default under this Agreement and, in addition to those remedies set forth in Section 14, "Termination," City is further entitled to a refund of all payments made to Contractor under this Agreement for those portions of the System which do not satisfy the Acceptance Criteria.

## **10. Maintenance and Support**

a. **Maintenance and Support Services.** Commencing upon the satisfactory performance and approval of the Licensed Software on City site and continuing for 365 days (the "Warranty Period"), after acceptance of the Licensed Software, without charge and subject to the terms and conditions, set forth in this Section, Contractor will provide City with maintenance and support services for the Licensed Software as described herein and as follows: (i) Contractor will provide such assistance as necessary to cause the Licensed Software to perform in accordance with the Specifications as set forth in the Documentation; (ii) Contractor will provide, for City's use, whatever improvements, enhancements, extensions and other changes to the Licensed Software Contractor may develop, and (iii) Contractor will update the Licensed Software, as required, to cause it to operate under new versions or releases of the operating system specified in the Authorization Document so long as such updates are made generally available to Contractor's other Licensees.

b. **Changes in Operating System.** If Contractor develops a new version of the Licensed Software Product that operates under an operating system different from that required by the application in current use by City, and if City desires to obtain a version of the Licensed Software that operates under an operating system not specified in the Authorization Document, Contractor will provide City with the appropriate version of the Licensed Software, if available, on a 90 business-day trial basis without additional charge, provided City has paid all maintenance and support charges then due. At the end of the 90 business-day trial period, City must elect one of the following three options: (i) City may retain and continue the old version of the Licensed Software, return the new version to Contractor and continue to pay the applicable rental or license fee and maintenance charges for the old version; (ii) City may retain and use the new version of the Licensed Software and return the old version to Contractor, provided City pays Contractor the applicable rental or license fee and maintenance charges for the new version of the Licensed Software; or (iii) City may retain and use both versions of the Products, provided City pays Contractor the applicable rental or license fee and maintenance charges for both versions of the Licensed Software. City will promptly issue the necessary Authorization Document(s) to accomplish the above.

### c. Charges

1) **Limited Term License.** When the license term specified in the Authorization Document is less than perpetual, all charges will be detailed separately for the license fee and the maintenance and support fees, as detailed in Appendix B, *Calculation of Charges*.

2) **Perpetual License.** Where the license term specified in the Authorization Document is perpetual, all charges for maintenance and support are as follows:

(a) **Periodic Payment License.** If the license fee specified in the Authorization Document is payable in periodic payments, there will be no additional charge for maintenance and support during the period for which such periodic payments are payable or the first year of the term, whichever is longer.

(b) **Lump Sum Payment Licenses.** If the license fee specified in the Authorization Document is payable in one lump sum, there will be no additional charge for the maintenance and support during the first year of the term.

**d. Charges for Subsequent Years.** For each year after the period for which periodic payments are payable, or each year after the first year of the lump sum payment license, as the case may be, Contractor will continue to provide City with the maintenance and support services as described in subsection (a) above, and this Agreement, provided City issues a purchase order or modification to this License Agreement and pays Contractor in advance the annual maintenance and support charges then in effect. If there is an increase in annual maintenance and support charges, Contractor shall give City written notice of such increase at least thirty (30) days prior to the expiration of the applicable maintenance period.

### 11. Scope of Service Coverage

Contractor shall provide Support Services and provide Upgrades during the term of this Agreement for the Software.

a. During the term of this Agreement, Contractor will furnish Error, Defect or Malfunction correction in accordance with the Priority Categories listed below, based on the City's determination of the severity of the Error, Defect or Malfunction and Contractor's reasonable analysis of the priority of the Error, Defect or Malfunction.

1) Priority 1: An Error, Defect or Malfunction which renders the Software inoperative; or causes the Software to fail catastrophically.

2) Priority 2: An Error, Defect or Malfunction which substantially degrades the performance of the Software, but does not prohibit the City's use of the Software.

3) Priority 3: An Error, Defect or Malfunction which causes only a minor impact on the use of the Software.

b. Contractor will furnish Error, Defect or Malfunction correction in accordance with the following protocols:

1) Priority 1 Protocol: Within two hours, Contractor assigns a product technical specialist(s) to diagnose and correct the Error, Defect or Malfunction; thereafter, Contractor shall provide ongoing communication about the status of the correction; shall proceed to immediately provide a Fix, a Patch or a Workaround; and exercise all commercially reasonable efforts to include a Fix or Patch for the Error, Defect or Malfunction in the next Subsequent Release.

Contractor will escalate resolution of the problem to personnel with successively higher levels of technical expertise until the Error, Defect or Malfunction is corrected.

2) Priority 2 Protocol: Within four hours, Contractor assigns a product technical specialist(s) to diagnose the Error, Defect or Malfunction and to commence correction of the Error, Defect or Malfunction; to immediately provide a Workaround; to provide escalation procedures as reasonably determined by Contractor's staff; and to exercise all commercially reasonable efforts to include a Fix or Patch for the Error, Defect or Malfunction in the next Software maintenance release.

3) Priority 3 Protocol: Contractor may include a Fix or Patch in the next Software major release.

**12. Hotline Support.** Contractor shall provide remote access hotline support to City to help City answer routine questions with respect to the use of the Software. Contractor also shall provide remote access hotline support to City to initiate resolution of Priority 1 and Priority 2 Errors, Defects and Malfunctions. Hotline support shall be made available by phone between the hours of 8 a.m. and 6 p.m. Pacific time Monday through Friday, except legal holidays. Emergency maintenance may be accessed after normal business hours through Contractor's established paging service available by dialing Contractor's main office number (231-938-5959). Hotline support shall be available by electronic bulletin board, electronic mail or other service 24-hours a day, seven-days a week. Responses to questions posted by electronic means will be made within the time frame established under Priority Protocols for an Error, Defect or Malfunction in a Software Product.

**13. City Responsibilities Related to Support.** City shall use reasonable efforts to make available to Contractor reasonable access to the equipment on which City experienced the Error, Defect or Malfunction, the Software Product and all relevant documentation and records. City shall also provide reasonable assistance to Contractor, including sample output and diagnostic information, in order to assist Contractor in providing Support Services. City shall be responsible for the interface between the Software and other software products installed on City equipment. Unless otherwise agreed in writing between City and Contractor, City is responsible for installing, managing and operating any Software delivered under this Agreement.

#### **14. Term and Termination/Termination for Convenience**

a. **Termination for Cause.** In the event Contractor fails to perform any of its obligations under this Agreement, this Agreement may be terminated and all of Contractor's rights hereunder ended. Termination will be effective after ten (10) days written notice to Contractor. No new work will be undertaken after the date of receipt of any notice of termination, or five (5) days after the date of the notice, whichever is earlier. In the event of such termination, Contractor will be paid for those services performed under this Agreement to the satisfaction of the City, up to the date of termination. However, City may offset from any such amounts due Contractor any liquidated damages or other costs the City has or will incur due to Contractor's non-performance. Any such offset by the City will not constitute a waiver of any other remedies the City may have against Contractor for financial injury or otherwise.

b. **Termination for Convenience.** City may terminate this Agreement for City's convenience and without cause at any time by giving Contractor thirty (30) days written notice of such termination. In the event of such termination, Contractor will be paid for those services

performed, equipment ordered, and costs incurred for which notification, in writing, has been provided to City prior to contractual commitment, pursuant to this Agreement, to the satisfaction of City up to the date of termination. In no event will City be liable for costs incurred by Contractor after receipt of a notice of termination. Such non-recoverable costs include, but are not limited to, anticipated profits on this Agreement, post-termination employee salaries, post-termination administrative expenses, or any other cost which is not reasonable or authorized under this section. This section shall not prevent Contractor from recovering costs necessarily incurred in discontinuing further work under the contract after receipt of the termination notice.

c. **Obligations upon Termination.** Upon termination of this Agreement, Contractor will submit an invoice to the City for an amount which represents the value of its work or services actually performed prior to the effective date of termination for which Contractor has not previously been compensated, except that with respect to reimbursement for Contractor's services, in no event will the compensation paid for the month in which termination occurs be greater than the scheduled monthly fee multiplied by a fraction, the numerator of which will be the days in the month elapsed prior to the termination and the denominator of which shall be 31. Upon approval and payment of this invoice by the City, the City shall be under no further obligation to Contractor monetarily or otherwise.

**15. Training.** Contractor will provide up to 10 days of training in the manner, quality and quantity of time specified in Appendix A in the use and operation of the Licensed Software at the location identified by the San Francisco Adult Probation Department. Upon request by the City, Contractor will provide additional training at its current best government rates.

**16. Contractor's Default.** Failure or refusal of Contractor to perform or do any act herein required shall constitute a default. In the event of any default, in addition to any other remedy available to City, this Contract may be terminated by City upon ten (10) days written notice. Such termination does not waive any other legal remedies available to City.

**17. Warranty of Authority: No Conflict.** Each party hereby warrants to the other that it is authorized to enter into this Agreement and that its performance thereof will not conflict with any other agreement.

**18. Infringement Indemnification.** If notified promptly in writing of any judicial action brought against City based on an allegation that City's use of the Licensed Software infringes a patent, copyright, or any right of a third party or constitutes misuse or misappropriation of a trade secret or any other right in intellectual property (Infringement), Contractor will hold City harmless and defend such action at its own expense. Contractor will pay the costs and damages awarded in any such action or the cost of settling such action, provided that Contractor shall have sole control of the defense of any such action and all negotiations or its settlement or compromise. If notified promptly in writing of any informal claim (other than a judicial action) brought against City based on an allegation that City's use of the Licensed Software constitutes Infringement, Contractor will pay the costs associated with resolving such claim and will pay the settlement amount (if any), provided that Contractor shall have sole control of the resolution of any such claim and all negotiations for its settlement.

In the event a final injunction is obtained against City's use of the Licensed Software by reason of Infringement, or in Contractor's opinion City's use of the Licensed Software is likely to become the subject of Infringement, Contractor may at its option and expense: (a) procure for City the right to continue to use the Licensed Software as contemplated hereunder, (b) replace

the Licensed Software with a non-infringing, functionally equivalent substitute Licensed Software, or (c) suitably modify the Licensed Software to make its use hereunder non-infringing while retaining functional equivalency to the unmodified version of the Licensed Software. If none of these options is reasonably available to Contractor, then the applicable Authorization Document or relevant part of such Authorization Document may be terminated at the option of either party hereto and Contractor shall refund to City all amounts paid under this Agreement for the license of such infringing Licensed Software. Any unauthorized modification or attempted modification of the Licensed Software by City or any failure by City to implement any improvements or updates to the Licensed Software, as supplied by Contractor, shall void this indemnity unless City has obtained prior written authorization from Contractor permitting such modification, attempted modification or failure to implement. Contractor shall have no liability for any claim of Infringement based on City's use or combination of the Licensed Software with products or data of the type for which the Licensed Software was neither designed nor intended to be used.

**19. Payment.** During the configuration/development period, the invoices shall be sent to the San Francisco Adult Probation Department upon approval of the milestones specified in Appendix A and subsequent annual billing for licensing fees after the 365 days Warranty Period as specified in Appendix A, *Statement of Work* and Appendix B, *Calculation of Charges*. The City reserves the right to negotiate City and County wide Site License user fee. Compensation shall be due and payable within 45 days of the date of invoice. In no event shall the amount of this Agreement exceed six hundred seventy nine thousand three hundred dollars and no cents (\$679,300.00). The breakdown of costs associated with this Agreement is based on the milestones as specified in Appendix A *Statement of Work* and the annual maintenance and support fees as specified in Appendix B *Calculation of Charges*. No charges shall be incurred under this Agreement nor shall any payments become due to Contractor until Licensed Software and services required under this Agreement are received from Contractor and approved by the San Francisco Adult Probation Department as being in accordance with this Agreement.

In no event shall City be liable for interest or late charges for any late payments.

**20. Guaranteed Maximum Costs.** The City's obligation hereunder shall not at any time exceed the amount certified by the Controller for the purpose and period stated in such certification. Except as may be provided by City ordinances governing emergency conditions, the City and its employees and officers are not authorized to request Contractor to perform services or to provide materials, equipment and supplies that would result in Contractor performing services or providing materials, equipment and supplies that are beyond the scope of the services, materials, equipment and supplies agreed upon in the contract unless the agreement is amended in writing and approved as required by law to authorize additional services, materials, equipment or supplies. The City is not required to reimburse Contractor for services, materials, equipment or supplies that are provided by Contractor which are beyond the scope of the services, materials, equipment and supplies agreed upon in the contract and which were not approved by a written amendment to the agreement having been lawfully executed by the City. The City and its employees and officers are not authorized to offer or promise to Contractor additional funding for the contract which would exceed the maximum amount of funding provided for in the contract for Contractor's performance under the contract. Additional funding for the contract in excess of the maximum provided in the contract shall require lawful approval and certification by the Controller of the City and County of San Francisco. The City is not

required to honor any offered or promised additional funding for a contract which exceeds the maximum provided in the contract which requires lawful approval and certification of the Controller when the lawful approval and certification by the Controller has not been obtained. The Controller is not authorized to make payments on any contract for which funds have not been certified as available in the budget or by supplemental appropriation.

**21. Invoice Format.** Invoices furnished by Contractor under this Agreement must be in a form acceptable to the Controller, and must include a unique identifying invoice number. All amounts paid by City to Contractor shall be subject to audit by City. Payment shall be made by City to Contractor at the address specified in the section entitled "Notices to the Parties."

**22. Submitting False Claims; Monetary Penalties.** Pursuant to San Francisco Administrative Code §21.35, any contractor, subcontractor or consultant who submits a false claim shall be liable to the City for the statutory penalties set forth in that section. The text of Section 21.35, along with the entire San Francisco Administrative Code is available on the web at <http://www.municode.com/Library/clientCodePage.aspx?clientID=4201>. A contractor, subcontractor or consultant will be deemed to have submitted a false claim to the City if the contractor, subcontractor or consultant: (a) knowingly presents or causes to be presented to an officer or employee of the City a false claim or request for payment or approval; (b) knowingly makes, uses, or causes to be made or used a false record or statement to get a false claim paid or approved by the City; (c) conspires to defraud the City by getting a false claim allowed or paid by the City; (d) knowingly makes, uses, or causes to be made or used a false record or statement to conceal, avoid, or decrease an obligation to pay or transmit money or property to the City; or (e) is a beneficiary of an inadvertent submission of a false claim to the City, subsequently discovers the falsity of the claim, and fails to disclose the false claim to the City within a reasonable time after discovery of the false claim.

**23. Taxes.** Payment of any taxes, including possessory interest taxes, and California sales and use taxes, levied upon this Agreement, the transaction, or the services delivered pursuant hereto, shall be the obligation of Contractor.

**24. Payment Does Not Imply Acceptance of Work.** The granting of any payment by City, or the receipt thereof by Contractor, shall in no way lessen the liability of Contractor to replace unsatisfactory work, the Licensed Software, although the unsatisfactory character of such work, or Licensed Software may not have been apparent or detected at the time such payment was made. Software, components, or workmanship that do not conform to the requirements of this Agreement may be rejected by City and in such case must be replaced by Contractor without delay.

**25. Qualified Personnel.** Work under this Agreement shall be performed only by competent personnel under the supervision of and in the employment of Contractor. Contractor will comply with City's reasonable requests regarding assignment of personnel, but all personnel, including those assigned at City's request, must be supervised by Contractor. Contractor shall assign adequate personnel resources to provide the level of service within the response times specified in this Agreement.

**26. Responsibility for Equipment.** City shall not be responsible for any damage to persons or property as a result of the use, misuse or failure of any equipment used by Contractor, or by any of its employees, even though such equipment be furnished, rented or loaned to Contractor by City. The acceptance or use of such equipment by Contractor or any of its employees means that

Contractor accepts full responsibility for and agrees to exonerate, indemnify, defend and save harmless City from and against any and all claims for any damage or injury of any type arising from the use, misuse or failure of such equipment, whether such damage be to Contractor, its employees, City employees or third parties, or to property belonging to any of the above.

## **27. Independent Contractor; Payment of Taxes and Other Expenses**

a. **Independent Contractor.** Contractor or any agent or employee of Contractor shall be deemed at all times to be an independent contractor and is wholly responsible for the manner in which it performs the services and work requested by City under this Agreement. Contractor or any agent or employee of Contractor shall not have employee status with City, nor be entitled to participate in any plans, arrangements, or distributions by City pertaining to or in connection with any retirement, health or other benefits that City may offer its employees. Contractor or any agent or employee of Contractor is liable for the acts and omissions of itself, its employees and its agents. Contractor shall be responsible for all obligations and payments, whether imposed by federal, state or local law, including, but not limited to, FICA, income tax withholdings, unemployment compensation, insurance, and other similar responsibilities related to Contractor's performing services and work, or any agent or employee of Contractor providing same. Nothing in this Agreement shall be construed as creating an employment or agency relationship between City and Contractor or any agent or employee of Contractor. Any terms in this Agreement referring to direction from City shall be construed as providing for direction as to policy and the result of Contractor's work only, and not as to the means by which such a result is obtained. City does not retain the right to control the means or the method by which Contractor performs work under this Agreement.

b. **Payment of Taxes and Other Expenses.** Should City, in its discretion, or a relevant taxing authority such as the Internal Revenue Service or the State Employment Development Division, or both, determine that Contractor is an employee for purposes of collection of any employment taxes, the amounts payable under this Agreement shall be reduced by amounts equal to both the employee and employer portions of the tax due (and offsetting any credits for amounts already paid by Contractor which can be applied against this liability). City shall then forward those amounts to the relevant taxing authority. Should a relevant taxing authority determine a liability for past services performed by Contractor for City, upon notification of such fact by City, Contractor shall promptly remit such amount due or arrange with City to have the amount due withheld from future payments to Contractor under this Agreement (again, offsetting any amounts already paid by Contractor which can be applied as a credit against such liability). A determination of employment status pursuant to the preceding two paragraphs shall be solely for the purposes of the particular tax in question, and for all other purposes of this Agreement, Contractor shall not be considered an employee of City. Notwithstanding the foregoing, should any court, arbitrator, or administrative authority determine that Contractor is an employee for any other purpose, then Contractor agrees to a reduction in City's financial liability so that City's total expenses under this Agreement are not greater than they would have been had the court, arbitrator, or administrative authority determined that Contractor was not an employee.

## **28. Insurance**

a. Without in any way limiting Contractor's liability pursuant to the "Indemnification and General Liability" section of this Agreement, Contractor must maintain in force, during the full term of the Agreement, insurance in the following amounts and coverages:

1) Workers' Compensation, in statutory amounts, with Employers' Liability Limits not less than \$1,000,000 each accident, injury, or illness; and

2) Commercial General Liability Insurance with limits not less than \$1,000,000 each occurrence Combined Single Limit for Bodily Injury and Property Damage, including Contractual Liability, Personal Injury, Products and Completed Operations; and

3) Commercial Automobile Liability Insurance with limits not less than \$1,000,000 each occurrence Combined Single Limit for Bodily Injury and Property Damage, including Owned, Non-Owned and Hired auto coverage, as applicable.

b. Commercial General Liability and Commercial Automobile Liability Insurance policies must be endorsed to provide:

1) Name as Additional Insured the City and County of San Francisco, its Officers, Agents, and Employees.

2) That such policies are primary insurance to any other insurance available to the Additional Insureds, with respect to any claims arising out of this Agreement, and that insurance applies separately to each insured against whom claim is made or suit is brought.

c. Regarding Workers' Compensation, Contractor hereby agrees to waive subrogation which any insurer of Contractor may acquire from Contractor by virtue of the payment of any loss. Contractor agrees to obtain any endorsement that may be necessary to effect this waiver of subrogation. The Workers' Compensation policy shall be endorsed with a waiver of subrogation in favor of the City for all work performed by the Contractor, its employees, agents and subcontractors.

d. All policies shall provide thirty days' advance written notice to the City of reduction or nonrenewal of coverages or cancellation of coverages for any reason. Notices shall be sent to the City address in the "Notices to the Parties" section.

e. Should any of the required insurance be provided under a claims-made form, Contractor shall maintain such coverage continuously throughout the term of this Agreement and, without lapse, for a period of three years beyond the expiration of this Agreement, to the effect that, should occurrences during the contract term give rise to claims made after expiration of the Agreement, such claims shall be covered by such claims-made policies.

f. Should any of the required insurance be provided under a form of coverage that includes a general annual aggregate limit or provides that claims investigation or legal defense costs be included in such general annual aggregate limit, such general annual aggregate limit shall be double the occurrence or claims limits specified above.

g. Should any required insurance lapse during the term of this Agreement, requests for payments originating after such lapse shall not be processed until the City receives satisfactory evidence of reinstated coverage as required by this Agreement, effective as of the lapse date. If insurance is not reinstated, the City may, at its sole option, terminate this Agreement effective on the date of such lapse of insurance.

h. Before commencing any operations under this Agreement, Contractor shall furnish to City certificates of insurance and additional insured policy endorsements with insurers with ratings comparable to A-, VIII or higher, that are authorized to do business in the State of



California, and that are satisfactory to City, in form evidencing all coverages set forth above. Failure to maintain insurance shall constitute a material breach of this Agreement.

i. Approval of the insurance by City shall not relieve or decrease the liability of Contractor hereunder.

**29. Indemnification and General Liability.** Contractor shall indemnify and save harmless City and its officers, agents and employees from, and, if requested, shall defend them against any and all loss, cost, damage, injury, liability, and claims thereof for injury to or death of a person, including employees of Contractor or loss of or damage to property, arising directly or indirectly from Contractor's performance of this Agreement, except to the extent that such indemnity is void or otherwise unenforceable under applicable law in effect on or validly retroactive to the date of this Agreement and except where such loss, damage, injury, liability or claim is the result of active negligence or willful misconduct of City and in not contributed to by any act of, or by any omission to perform some duty imposed by law or agreement on Contractor, its subcontractors or either's agent or employee. The foregoing indemnity shall include, without limitation, reasonable fees of attorneys, consultants and experts and related costs and City's costs of investigating any claims against the City. In addition to Contractor's obligation to indemnify City, Contractor specifically acknowledges and agrees that it has an immediate and independent obligation to defend City from any claim which actually or potentially falls within this indemnification provision, even if the allegations are or may be groundless, false or fraudulent, which obligation arises at the time such claim is tendered to Contractor by City and continues at all times thereafter.

**30. Incidental and Consequential Damages.** Contractor shall be responsible for incidental and consequential damages resulting in whole or in part from Contractor's acts or omissions. Nothing in this Agreement shall constitute a waiver of limitation of any rights which City may have under applicable law.

**31. Liability of City.** CITY'S PAYMENT OBLIGATIONS UNDER THIS AGREEMENT SHALL BE LIMITED TO THE PAYMENT OF THE COMPENSATION PROVIDED FOR IN SECTION 19 OF THIS AGREEMENT. NOTWITHSTANDING ANY OTHER PROVISION OF THIS AGREEMENT, IN NO EVENT SHALL CITY BE LIABLE, REGARDLESS OF WHETHER ANY CLAIM IS BASED ON CONTRACT OR TORT, FOR ANY SPECIAL, CONSEQUENTIAL, INDIRECT OR INCIDENTAL DAMAGES, INCLUDING, BUT NOT LIMITED TO, LOST PROFITS, ARISING OUT OF OR IN CONNECTION WITH THIS AGREEMENT OR THE SERVICES PERFORMED IN CONNECTION WITH THIS AGREEMENT.

**32. Nondisclosure.** City agrees that it shall treat the Licensed Software with the same degree of care as it treats like information of its own, which it does not wish to disclose to the public, from the date the Licensed Software is Accepted by the City until the license is terminated as provided herein. The obligations of the City set forth above, however, shall not apply to the Licensed Software, or any portion thereof, which:

- a. is now or hereafter becomes publicly known;
- b. is disclosed to the City by a third party which the City has no reason to believe is not legally entitled to disclose such information;
- c. is known to the City prior to its receipt of the Licensed Software;

- d. is subsequently developed by the City independently of any disclosures made hereunder by Contractor;
- e. is disclosed with Contractor's prior written consent;
- f. is disclosed by Contractor to a third party without similar restrictions.

**33. Proprietary or Confidential Information of City.** Contractor understands and agrees that, in the performance of the work or services under this Agreement or in contemplation thereof, Contractor may have access to private or confidential information which may be owned or controlled by City and that such information may contain proprietary or confidential details, the disclosure of which to third parties may be damaging to City. Contractor agrees that all information disclosed by City to Contractor shall be held in confidence and used only in the performance of the Agreement. Contractor shall exercise the same standard of care to protect such information as a reasonably prudent Contractor would use to protect its own proprietary data. Contractor shall provide individually signed non-disclosure agreements conformant with this section and section 34 below for each employee or Contractor that will have access to, or work with, City data or other proprietary materials.

**34. Protection of Private Information.** Contractor has read and agrees to the terms set forth in San Francisco Administrative Code Sections 12M.2, "Nondisclosure of Private Information," and 12M.3, "Enforcement" of Administrative Code Chapter 12M, "Protection of Private Information," which are incorporated herein as if fully set forth. Contractor agrees that any failure of Contractor to comply with the requirements of Section 12M.2 of this Chapter shall be a material breach of the Contract. In such an event, in addition to any other remedies available to it under equity or law, the City may terminate the Contract, bring a false claim action against the Contractor pursuant to Chapter 6 or Chapter 21 of the Administrative Code, or debar the Contractor.

**35. Rights and Duties upon Termination or Expiration.** This section and the following sections of this Agreement shall survive termination or expiration of this Agreement:

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Subject to the immediately preceding sentence, upon termination of this Agreement prior to expiration of the term specified in Section 3, this Agreement shall terminate and be of no further force or effect. Contractor shall transfer title to City, and deliver in the manner, at the times, and to the extent, if any, directed by City, any work in progress, completed work, supplies, equipment, and other materials produced as part of, or acquired in connection with the performance of this Agreement, and any completed or partially completed work which, if this Agreement had been completed, would have been required to be furnished to City. This subsection shall survive termination of this Agreement.

**36. Notice to the Parties.** Unless otherwise indicated elsewhere in this Agreement, all written communications sent by the parties may be by U.S. mail, and e-mail, and shall be addressed as follows:

To City: Ms. Wendy S. Still  
Chief Adult Probation Officer  
San Francisco Adult Probation Department  
880 Bryant Street, Room 200, San Francisco, CA 94103  
[wendy.still@sfgov.org](mailto:wendy.still@sfgov.org); fax: (415) 553-1717

To Contractor: Northpointe Institute for Public Management  
C/O: Brian Mattson, Vice President  
112 N. Rubey Dr.  
Golden, CO 80403  
[bmattson@npipm.com](mailto:bmattson@npipm.com); fax: (303) 216-9459

Either party may change the address to which notice is to be sent by giving written notice thereof to the other party. If e-mail notification is used, the sender must specify a Receipt notice. Any notice of default must be sent by an overnight delivery service.

**37. Bankruptcy.** In the event that either party shall cease conducting business in the normal course, become insolvent, make a general assignment for the benefit of creditors, suffer or permit the appointment of a receiver for its business or assets or shall avail itself of, or become subject to, any proceeding under the Federal Bankruptcy Act or any other statute of any state relating to insolvency or the protection of rights of creditors, then at the option of the other party this Agreement shall terminate and be of no further force and effect.

**38. Subcontracting.** Contractor is prohibited from subcontracting this Agreement or any part of it unless such subcontracting is first approved by City in writing. Neither party shall, on the basis of this Agreement, contract on behalf of or in the name of the other party. An agreement made in violation of this provision shall confer no rights on any party and shall be null and void.

**39. Assignment.** The services to be performed by Contractor are personal in character and neither this Agreement nor any duties or obligations hereunder may be assigned or delegated by

the Contractor unless first approved by City by written instrument executed and approved in the same manner as this Agreement.

**40. Compliance with Americans with Disabilities Act.** Contractor acknowledges that, pursuant to the Americans with Disabilities Act (ADA), programs, services and other activities provided by a public entity to the public, whether directly or through a contractor, must be accessible to the disabled public. Contractor shall provide the services specified in this Agreement in a manner that complies with the ADA and any and all other applicable federal, state and local disability rights legislation. Contractor agrees not to discriminate against disabled persons in the provision of services, benefits or activities provided under this Agreement and further agrees that any violation of this prohibition on the part of Contractor, its employees, agents or assigns will constitute a material breach of this Agreement.

**41. Sunshine Ordinance.** In accordance with San Francisco Administrative Code Section 67.24(e), contracts, contractors' bids, responses to requests for proposals and all other records of communications between City and persons or firms seeking contracts, shall be open to inspection immediately after a contract has been awarded. Nothing in this provision requires the disclosure of a private person or organization's net worth or other proprietary financial data submitted for qualification for a contract or other benefit until and unless that person or organization is awarded the contract or benefit. Information provided which is covered by this paragraph will be made available to the public upon request.

**42. Limitations on Contributions.** Through execution of this Agreement, Contractor acknowledges that it is familiar with section 1.126 of the City's Campaign and Governmental Conduct Code, which prohibits any person who contracts with the City for the rendition of personal services, for the furnishing of any material, supplies or equipment, for the sale or lease of any land or building, or for a grant, loan or loan guarantee, from making any campaign contribution to (1) an individual holding a City elective office if the contract must be approved by the individual, a board on which that individual serves, or the board of a state agency on which an appointee of that individual serves, (2) a candidate for the office held by such individual, or (3) a committee controlled by such individual, at any time from the commencement of negotiations for the contract until the later of either the termination of negotiations for such contract or six months after the date the contract is approved. Contractor acknowledges that the foregoing restriction applies only if the contract or a combination or series of contracts approved by the same individual or board in a fiscal year have a total anticipated or actual value of \$50,000 or more. Contractor further acknowledges that the prohibition on contributions applies to each prospective party to the contract; each member of Contractor's board of directors; Contractor's chairperson, chief executive officer, chief financial officer and chief operating officer; any person with an ownership interest of more than 20 percent in Contractor; any subcontractor listed in the bid or contract; and any committee that is sponsored or controlled by Contractor. Additionally, Contractor acknowledges that Contractor must inform each of the persons described in the preceding sentence of the prohibitions contained in Section 1.126. Contractor further agrees to provide to City the names of each person, entity or committee described above.

**43. Conflict of Interest.** Through its execution of this Agreement, Contractor acknowledges that it is familiar with the provision of Section 15.103 of the City's Charter, Article III, Chapter 2 of the City's Campaign and Governmental Code, and Section 87100 et seq. and Section 1090 et seq. of the Government Code of the State of California, and certifies that it does not know of any

facts which constitutes a violation of said provisions and agrees that it will immediately notify the City if it becomes aware of any such fact during the term of this Agreement.

**44. Non-Waiver of Rights.** The omission by either party at any time to enforce any default or right reserved to it, or to require performance of any of the terms, covenants, or provisions hereof by the other party at the time designated, shall not be a waiver of any such default or right to which the party is entitled, nor shall it in any way affect the right of the party to enforce such provisions thereafter.

**45. Modification of Agreement.** This Agreement may not be modified, nor may compliance with any of its terms be waived, except by written instrument executed and approved in the same manner as this Agreement.

**46. Dispute Resolution.** City and Contractor agree to exercise their best efforts, and to negotiate in good faith, to amicably resolve any dispute that may arise concerning the performance by either party of their obligations under this Agreement. If City's and Contractor's Project Managers cannot resolve disputes through such negotiations, then the Parties will escalate the dispute to their respective executives who shall have authority to settle the controversy and who are at a higher level of management than the Project Managers. Either City or Contractor may give the other party written notice of any dispute not resolved by good faith negotiations between the Parties' respective Project Managers.

Within 15 days after delivery of the notice, the receiving party shall submit to the other a written response. The notice and response shall include (a) a statement of that party's position and a summary of arguments supporting that position, and (b) the name and title of the executive who will represent that party and of any other person who will accompany the executive. Within 15 days the initiating party shall provide the same information to the responding party. Within 30 days after delivery of the initial notice, the executives of both parties shall meet at a mutually acceptable time and place, and thereafter as often as they reasonably deem necessary, to attempt to resolve the dispute. All reasonable requests for information made by one party to the other will be honored. All negotiations pursuant to this clause are confidential and shall be treated as compromise and settlement negotiations for purposes of applicable rules of evidence.

If the executives cannot resolve the dispute to the satisfaction of both Parties, then City and Contractor may attempt to mutually agree on the conditions under which such unresolved disputes can be referred to mediation or non-binding arbitration. If the parties do not mutually agree to mediation or non-binding arbitration, or mutually select a mediator or arbitrator for the dispute, or such efforts do not resolve the dispute, then either party may pursue any remedy available under California law.

**47. Agreement Made in California; Venue.** The formation, interpretation and performance of this Agreement shall be governed by the laws of the State of California. Venue for all litigation relative to the formation, interpretation and performance of this Agreement shall be in San Francisco.

**48. Construction.** All paragraph captions are for reference only and shall not be considered in construing this Agreement.

**49. Entire Agreement.** This contract sets forth the entire Agreement between the parties, and supersedes all other oral or written provisions. If any provision of this Agreement is held to be unenforceable, this Agreement shall be construed without such provision.

**50. Compliance with Laws.** Contractor shall keep itself fully informed of the City's Charter, codes, ordinances and regulations of the City and of all state, and federal laws in any manner affecting the performance of this Agreement, and must at all times comply with such local codes, ordinances, and regulations and all applicable laws.

**51. Graffiti Removal.** Graffiti is detrimental to the health, safety and welfare of the community in that it promotes a perception in the community that the laws protecting public and private property can be disregarded with impunity. This perception fosters a sense of disrespect of the law that results in an increase in crime; degrades the community and leads to urban blight; is detrimental to property values, business opportunities and the enjoyment of life; is inconsistent with the City's property maintenance goals and aesthetic standards; and results in additional graffiti and in other properties becoming the target of graffiti unless it is quickly removed from public and private property. Graffiti results in visual pollution and is a public nuisance. Graffiti must be abated as quickly as possible to avoid detrimental impacts on the City and County and its residents, and to prevent the further spread of graffiti. Contractor shall remove all graffiti from any real property owned or leased by Contractor in the City and County of San Francisco within forty eight (48) hours of the earlier of Contractor's (a) discovery or notification of the graffiti or (b) receipt of notification of the graffiti from the Department of Public Works. This section is not intended to require a Contractor to breach any lease or other agreement that it may have concerning its use of the real property. The term "graffiti" means any inscription, word, figure, marking or design that is affixed, marked, etched, scratched, drawn or painted on any building, structure, fixture or other improvement, whether permanent or temporary, including by way of example only and without limitation, signs, banners, billboards and fencing surrounding construction sites, whether public or private, without the consent of the owner of the property or the owner's authorized agent, and which is visible from the public right-of-way. "Graffiti" shall not include: (1) any sign or banner that is authorized by, and in compliance with, the applicable requirements of the San Francisco Public Works Code, the San Francisco Planning Code or the San Francisco Building Code; or (2) any mural or other painting or marking on the property that is protected as a work of fine art under the California Art Preservation Act (California Civil Code Sections 987 et seq.) or as a work of visual art under the Federal Visual Artists Rights Act of 1990 (17 U.S.C. §§ 101 et seq.).

Any failure of Contractor to comply with this section of this Agreement shall constitute a material breach of this Agreement.

**52. Food Service Waste Reduction Requirements.** Contractor agrees to comply fully with and be bound by all of the provisions of the Food Service Waste Reduction Ordinance, as set forth in San Francisco Environment Code Chapter 16, including the remedies provided, and implementing guidelines and rules. The provisions of Chapter 16 are incorporated herein by reference and made a part of this Agreement as though fully set forth. This provision is a material term of this Agreement. By entering into this Agreement, Contractor agrees that if it breaches this provision, City will suffer actual damages that will be impractical or extremely difficult to determine; further, Contractor agrees that the sum of \$100 liquidated damages for the first breach, \$200 liquidated damages for the second breach in the same year, and \$500 liquidated damages for subsequent breaches in the same year is reasonable estimate of the

damage that City will incur based on the violation, established in light of the circumstances existing at the time this Agreement was made. Such amount shall not be considered a penalty, but rather agreed monetary damages sustained by City because of Contractor's failure to comply with this provision.

**53. Audit and Inspection of Records.** Contractor agrees to maintain and make available to the City, during regular business hours, accurate books and accounting records relating to its work under this Maintenance Agreement. Contractor will permit City to audit, examine and make excerpts and transcripts from such books and records, and to make audits of all invoices, materials, payrolls, records or personnel and other data related to all other matters covered by this Maintenance Agreement, whether funded in whole or in part under this Maintenance Agreement. Contractor shall maintain such data and records in an accessible location and condition for a period of not less than five years after final payment under this Maintenance Agreement or until after final audit has been resolved, whichever is later. The State of California or any federal agency having an interest in the subject of this Maintenance Agreement shall have the same rights conferred upon City by this Section.

**54. Drug-Free Workplace.** Contractor acknowledges that pursuant to the Federal Drug Free Workplace Act of 1989, the unlawful manufacture, distribution, dispensation, possession, or use of a controlled substance is prohibited on City premises. Contractor agrees that any violation of this prohibition by the Contractor, its employees, agents or assigns shall be deemed a material breach of contract.

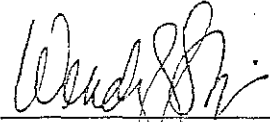
**55. Prohibition on Political Activity with City Funds.** In accordance with San Francisco Administrative Code Chapter 12.G, Contractor may not participate in, support, or attempt to influence any political campaign for a candidate or for a ballot measure (collectively, "Political Activity") in the performance of the services provided under this Maintenance Agreement. Contractor agrees to comply with San Francisco Administrative Code Chapter 12.G and any implementing rules and regulations promulgated by the City's Controller. The terms and provisions of Chapter 12.G are incorporated herein by this reference. In the event Contractor violates the provisions of this section, the City may, in addition to any other rights or remedies available hereunder, (i) terminate this Maintenance Agreement, and (ii) prohibit Contractor from bidding on or receiving any new City contract for a period of two years. The Controller will not consider Contractor's use of profit as a violation of this section.

**56. Cooperative Drafting.** This Agreement has been drafted through a cooperative effort of both parties, and both parties have had an opportunity to have the Agreement reviewed and revised by legal counsel. No party shall be considered the drafter of this Agreement, and no presumption or rule that an ambiguity shall be construed against the party drafting the clause shall apply to the interpretation or enforcement of this Agreement.

IN WITNESS WHEREOF, the parties hereto have executed this Agreement on the day first mentioned above.

**CITY**

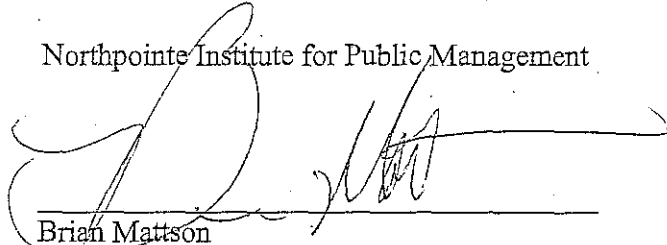
Recommended by:



Wendy S. Smith  
Chief Adult Probation Officer  
San Francisco Adult Probation Department

**CONTRACTOR**

Northpointe Institute for Public Management

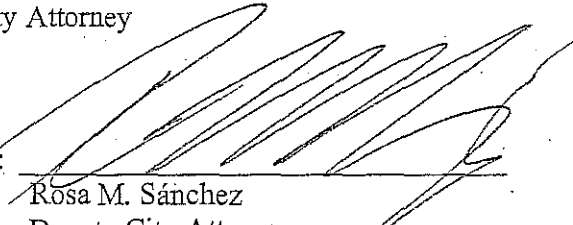


Brian Mattson  
President  
Northpointe Institute for Public Management  
112 N. Rubey Dr.  
Golden, CO 80403

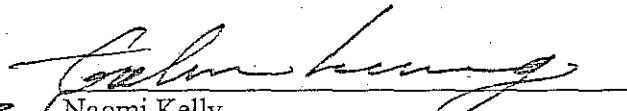
Approved as to Form:

City vendor number: 83611

Dennis J. Herrera  
City Attorney

By:   
Rosa M. Sánchez  
Deputy City Attorney

Approved:

  
For Naomi Kelly  
Director of the Office of Contract  
Administration, and  
Purchaser

**Appendices**

- A: Statement of Work: Services to be Provided by Contractor
- B: Calculation of Charges
- C: Special Terms and Conditions
- C-1: HIPAA+ Business Associate Addendum
- D: Recovery Act Justice Assistance Grant, Grant Award Number: 2009-SB-B9-0817;  
Documentation of Compliance.



## **APPENDIX A: STATEMENT OF WORK**

March 7, 2011

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## 1 PURPOSE OF PROJECT

Contractor shall deliver a computerized information System Application satisfying the assessment and case management requirements of the San Francisco Adult Probation Department (City). This new System, based on the Contractor's existing COMPAS 8 Suite with Case Manager, is intended to replace the existing City Adult Probation case management and assessment systems.

The planned new case management System shall include upgrades and improvements satisfying City's requirements. The delivered Application shall provide, among many other required features, the collection and reporting of statistics required by California Senate Bill 678 to support City's eligibility for performance-based funding from the state, as well as provide the offender assessment data to be used by the new San Francisco Probation Alternatives Court (SFPAC), established in December of 2010. The new System shall provide all of the base functionality of the current City case management system, with improvements of usability and workflows better tailored to support City's business processes.

The overall purpose of this Project is to enhance functionality in the existing COMPAS 8 Suite with Case Manager Application System, to result in an improved version of the product that not only meets the requirements and needs of the City, but will also serve as the base Application offering by Contractor to support the planned data exchange partnership consortium between the City and several other California counties.

## 2 SCOPE OF PROJECT

Contractor shall perform the following work, to be implemented in three successive phases over a one year period:

### 2.1 Phase I

Commencement of Operational Use by City of the Contractor-hosted Online version of the existing COMPAS 8 Suite with Case Manager Application and Requirements Elicitation, Design and Development of the Required Upgrades and Tailoring of COMPAS 8 Suite with Case Manager for City.

#### 2.1.1 City Begins Operational Use of Contractor-hosted Online System

Upon signing of the Agreement, Contractor shall provide City free access to the online COMPAS 8 Suite with Case Manager Application System (the "Licensed Software") hosted on Contractor's server for the term of the configuration and development period. City may assign access to as many Users as it deems necessary, in its sole discretion, for operational or testing use, until the date of Final Acceptance and signoff of this Project's deliverables (issuance of the Final V&V Report).

#### 2.1.2 Contractor Provides Separate Application Instances for Operations and Testing

Following signing of the Agreement, Contractor shall provide several separate "Instances" of the COMPAS 8 Suite on its server, including:

- a. An "Operational" Instance to allow City free access as in # 2.1.1 above, for immediate operational use of the various assessment tools and other functions of the Suite and to securely store and access live data for current reporting and later conversion to the completed deliverable Application System.
- b. A "Development" instance, to be used by the Contractor to develop the required System upgrades, improvements and tailoring.
- c. A "Test" Instance to be used by City to view and test releases by Contractor of the products of each development Iteration, up to the date of Final Acceptance of Project deliverables.

### **2.1.3 City Drafts Project Narrative Plan**

Within ten (10) days of the signing of the Agreement, City will draft a Project Narrative Plan as required by the CCSF JUSTIS Program System Delivery Life Cycle (SDLC) and this Agreement and detailed narrative of the plan. These tasks are to be completed in collaboration with Contractor. Both parties shall sign each successive published version of the Project Narrative Plan to indicate agreement of its content.

The Project Narrative Plan shall include details of any required Project elements to be determined (TBD), including: further definition of the Project organization, roles and responsibilities; a detailed Project schedule with known milestones, task assignments, deliverables and deliverable dates; sub-plans for Project document control, communications and reporting, cost, scope, schedule and risk management, description of methods and tools to be used, detailed descriptions of any phased activities, and requirements for any other deliverable Project documents, as well as the plan for Final Acceptance of the Project by the City.

The Project Narrative Plan must remain flexible to be modified in various ways throughout the lifecycle of the Project, as requirements change or new issues surface during design or construction of the deliverables of the Project. Because the Project Narrative Plan is required by the Agreement to be kept current with the status of the Project, it becomes the most current reflection of the overview of the Project at any given time in the lifecycle, and the final version of the document at the time of Project delivery becomes a basis, along with the final version of the Project V&V Plan, for final Verification and Validation of the Project's deliverables.

### **2.1.4 City Drafts Project Verification and Validation Plan (V&V Plan)**

Within ten (10) days of the signing of this Agreement, City shall draft a Project Verification and Validation Plan (V&V Plan) as required by the CCSF JUSTIS Program System Delivery Life Cycle (SDLC) and this Agreement. Contractor shall assist in completing the content of this document in collaboration with City. City will approve the V&V Plan and both Contractor and City shall sign each successive published version of the V&V Plan to indicate agreement of its content. The V&V Plan will be modified during the Project lifecycle as requirements change or issues surface. The V&V Plan defines the methods and procedures to be used to verify, or assure the physical presence of, a required element; and to validate, or test, the element's functionality or other quality for correctness, according to requirement specifications and Acceptance criteria.

The V&V Plan shall contain: a.) the Project Requirements Specification and Tracking Matrix, which lists all current Project deliverable requirements, each with its defined Acceptance criteria, and categorized and numbered for traceability; b.) the Acceptance Test Plan, developed in collaboration with the Contractor, which specifies the activities that will be used to validate the fitness of the completed deliverables for operational use, and provide the basis for formal Acceptance of the deliverables by the City; and c.) the Go Live sub-plan, developed in collaboration with the Contractor, which specifies the individual tasks required to prepare the completed and locally installed Software Application for operational use by the City, and to implement the successful commencement of ongoing production use of the Application System.

The V&V Plan is required to be updated and republished with each change to requirements or other content. The V&V Plan becomes the current requirements and functionality specifications and reference for all Project requirements throughout the Project lifecycle. The Requirements Tracking Matrix of the final version of the V&V Plan approved by the City and Contractor shall be the source of the final listing

of Project requirements to be verified and validated for their satisfaction of their Acceptance Criteria just prior to Go Live, and at Final V&V and Acceptance of the Project.

A Final V&V Report will be published by City upon Final Acceptance of the Application. This Final V&V Report shall contain the details of the results of the activities conducted during Verification and Validation and Acceptance Testing, prior to Go Live, according to the V&V and Acceptance Test Plans, and the outcomes of, and any observations noted during, the Go Live process and commencement of production use of the Software. The Final V&V Report shall also provide the completed checklists used for all such activities as attachments, including the Final V&V Checklist used to ultimately verify and validate Project completion for Acceptance. Any discrepancies or departures from the specifications of the Plan being verified or validated shall be documented and justified, if required, and a description of the activities planned for their remediation shall be included in the Report. The Final Report shall provide the final check that all Project deliverable products have been delivered according to the Project Narrative Plan, and all requirements satisfied, in accordance with the Project V&V Plan.

Contractor shall have ninety (90) days following the end of the Go Live process to obtain signoff of the Final V&V Report by the City. The Final V&V Report will indicate acceptance of all Project deliverables by the City, and formally close the Project as successful.

#### **2.1.5 Contractor and City Complete Initial Development Iteration Requirements Specifications**

Contractor shall schedule meetings with City's Project team within ten (10) days following signing of the Agreement, to begin the requirements gathering activities. Contractor shall provide a Requirements Specification and Tracking document, in City's required format, which City will review and approve to be included in the Project V&V Plan within 30 days of the conclusion of the first requirements meetings.

Following the initial requirements elicitation sessions, the initial publication of the Requirements Specification Tracking Matrix included in the Project V&V Plan document shall contain only those requirements agreed to by City and Contractor., , These requirements are to be included in the first Iteration of development of new functionality. The Requirements Specification Tracking Matrix of the V&V Plan document shall be updated with each successive round of requirements gathering sessions, and will be the sole authorized and controlled repository for all Project requirements, through Final Acceptance.

#### **2.1.6 Contractor and City Complete Initial Development Iteration Design Documents**

Contractor shall develop, and deliver to City, as described in Section 8 "Milestones with Payment Schedule," below, Design Documents illustrating the proposed methods of development of the first Iteration of Phase I new Application functionality in satisfaction of City's requirements as specified. These documents shall describe how the developed Software will functionally meet each specified requirement. The Design Documents will include:

- System Architecture Design, including all required external System interfaces,
- Functional and Technical design of the System,
- System's management and monitoring, logging and error handling
- Database entity diagrams with the mapping to UI fields
- Prototype screens
- Process/Data flow diagrams
- Development timeline
- System Configuration
- Web Service Data Contacts

o Data Conversion from cTag and CAIS Export File Definitions

**2.1.7 Contractor Commences Development of Required Initial Iteration Functionality**

Upon Acceptance by City of the Design Documents described in # 2.1.6 above, Contractor shall commence development of the Phase I initial Iteration design elements, as specified in the delivered Requirements Specifications and Design Documents. Contractor shall deliver the release of the first Iteration development product for testing as specified in Section 8 "Milestones with Payment Schedule" below, unless City approves a time extension.

**2.1.8 Contractor and City Hold a Design Review Meeting**

Upon delivery by Contractor of the Phase I first Iteration development release of the Application for testing by City, Contractor will attend a Design Review meeting to be held at the offices of the SF-APD. City and Contractor's Project Managers and, as required, members of the development team assigned by the Contractor shall present the new release and demonstrate how each design element of the current Design Document, and its implementation in the released Software, satisfies the first Iteration requirements detailed in the Master Requirements Specification Tracking document. City shall document all issues, discrepancies, departures from the Project Narrative or V&V Plans, etc. with justification, as appropriate, or plans and schedules for their remediation. Following the Design Review meeting, City will draft a Design Review Report which will be reviewed by both Parties for accuracy, and signed by both parties indicating agreement as to its content. The information in the Design Review Report shall then be used to update the Requirements Specification and Tracking Matrix of the V&V Plan.

**2.1.9 City Tests Initial Development Iteration's Released Product**

Following the Design Review, City's assigned User test team will test the released Application on the Contractor's hosted server, and document and report to the City Project Manager any errors, discrepancies, design flaws, departures from , the Project Narrative or V&V Plans, or malfunctions not already documented from the Design Review. All such issues shall be added to, and documented in, the Design Review Report in a separate section entitled "Testing Results." The City Project Manager will report such issues to Contractor's Project Manager in accordance with the Project Narrative Plan and V&V Plans. Contractor shall establish a procedure for documenting and tracking all development technical issues so that they may be analyzed and resolved in a timely fashion.

**2.1.10 City Approves Design Review Report and Updated Requirements Specifications and Design Documents**

Upon approval by City and Contractor of the Design Review Report, Contractor shall update, as required, the Requirements Specification & Tracking Matrix of the V&V Plan and any affected Design Documents, and obtain written approval by City of the updated documents.

**2.1.11 Contractor Commences Next Development Iteration**

Upon approval by City of the updated Requirements and Design documents, the Contractor shall commence the next Iteration of development of the Application, incorporating all information gathered in the Design Review and subsequent User testing by City. Scheduling of the release of this and subsequent development products shall be in accordance with the Project Narrative Plan and V&V Plans.

**2.1.12 City Tests Each Successive Development Iteration's Released Product**

Upon delivery by Contractor of each successive release of Software, the City Users will test the Application, document and report, using the procedure specified in the Project V&V Plan, any discovered project issues, departures from the Project Narrative or V&V Plans, or other defects, discrepancies, malfunctions, or other technical issues, to the City and Contractor Project Managers for resolution by the Contractor.

### **2.1.13 Contractor and City Continue Requirements Elicitation, Design & Development of All Project Phase Deliverables**

Upon completion of, or in parallel with, development of all Phase I deliverables, Contractor shall continue requirements gathering, design and development of the required Project elements of Phases II and III, following the process as described above in sections 2.1.5 through 2.1.12 including a design review and requirements elicitation meeting following each Iteration release, until all required Project elements are completed and released for testing by City.

## **2.2 Phase II**

Contractor shall gather requirements for, design, develop and integrate document storage and management functionality, form templates and auto-generation of forms and letters, and expanded ad-hoc reporting capability into the product delivered in Phase I. These activities may occur in parallel with the activities related to Phase I of the Project.

## **2.3 Phase III**

Contractor shall gather requirements for, design and develop the interface between the City Application delivered in Phases I and II, and the California Department of Corrections and Rehabilitation ("CDCR") database to exchange COMPAS data. These activities may occur in parallel with the activities related to Phase I of the Project.

## **2.4 Contractor Delivers Final Iteration Release for Initial Testing**

Upon completion of the FINAL ITERATION RELEASE product, including all required elements of Phases I, II and III of the Project, as detailed in the Requirements Specification and Tracking Matrix of the Project V&V Plan, the released Application shall be installed and implemented on the Contractor's online hosted Test Instance for initial Testing and V&V. This testing shall be in accordance with the Project V&V Plan.

## **2.5 Final V&V of Requirements and Design and Acceptance Testing**

Following successful initial testing of the Application on the Contractor's online-hosted Test Instance, and written approval by the City, Contractor shall install and implement the Application on the City's local server. Following installation, the City will perform final formal V&V, using prepared checklists, of all requirements and design elements included in the most current version of the Project V&V Plan and Acceptance Testing. Upon completion of formal V&V of requirements and design, the City will perform Acceptance Testing in conformance with the Acceptance Test Plan of the Project V&V Plan. Results of the Acceptance Test Plan will be documented in the Final V&V Report drafted by the City Project Manager.

## **2.6 Delivery of User and Administrator Manuals**

Within 30 days of successful completion, of Acceptance Testing, formal Verification and Validation of requirements and design, and issuance – by City – of the draft Final V&V Report, in accordance with the Project V&V Plan, and prior to system Go Live, Contractor shall deliver the final versions of User and Operation/Administration manuals in electronic form, as Microsoft Word 2003 document files, for City review and approval. These manuals shall provide clear and simple instructions on the configuration, administration and operational use of the Licensed Software Application, including all purchased modules, enhanced or added functionality and interfaces.

## **2.7 User and Administrator Training**

Following City approval of the User and Administrator manuals, Contractor shall conduct 5 (five) training sessions (3 for Users and 2 for System Administrators, for a total of 10 days of training), as scheduled in the Go-Live sub-plan of the Project V&V Plan.



## **2.8 Installation on City Production Server and Go Live System Assurance**

Upon written approval by the City per Section 2.5 above, Contractor shall install and implement the City approved Application on the City local production server, and shall provide Go-Live System assurance services, as detailed in the Go Live sub-plan of the Project V&V Plan, including verifying and validating that the Application System installed on the City's server(s) meets or exceeds Contractor's minimum specifications for configuration or other System settings or conditions required for successful operational use, and provision of written certification of the installed System's fitness for production use, for the Licensed Software and all included interfaces to external systems.

## **2.9 Go Live**

Following System assurance by Contractor, City and Contractor shall implement the Go Live sub-plan included in the Project V&V Plan, for commencing operational use of the new System. The Go Live sub-plan will include the plan for implementing, verifying and validating the final data conversion, as described in Section 7 b. of the Software License Agreement, from existing sources to the new System. Contractor shall provide on-site support for the implementation and completion of the Go Live process, in conformance with the Go Live sub-plan, through the commencement of operational production use by the City of the Licensed Software Application.

## **2.10 Project Acceptance**

Following the City's commencement of production use of the Licensed Software Application, Contractor shall provide ongoing support as detailed the Software License Agreement. Within a 90 day period following Go Live, any technical issues that arise shall be documented and added to the Final V&V Report, and their resolution verified and validated according to the V&V Plan. On resolution of all outstanding issues, and successful completion of the Project Final V&V Checklist, both parties shall sign the Final V&V Report to indicate Acceptance and conclusion of the overall Project. The Warranty Period shall commence on the date the Final V&V Report is signed by City. At the conclusion of the Warranty Period, the first of three years of the License, Maintenance and Support shall commence.

# **3 KEY ASSUMPTIONS**

The following key assumptions are fundamental to this SOW:

## **3.1 Project is Subject to JUSTIS Program Requirements**

This Project is partially funded by, and is thus conducted under, and subject to, the policies and procedures of the City and County of San Francisco JUSTIS Program of projects. All proposed Project activities involving significant issues of Project cost, scope, schedule or risk, and especially issues of connection to, or exchange of data with, agencies or entities external to the CCSF JUSTIS domain, that may have impact on other Stakeholder members of the JUSTIS Program must be presented by SF-APD, as required, to the JUSTIS Technical Steering Committee or the JUSTIS Council for review and approval, prior to implementation. This is a Project constraint and shall be included as such in the Project Narrative Plan.

## **3.2 Project is Subject to Grant Requirements**

This Project is partially funded by Recovery Act Justice Assistance Grant Award Number 2009-SB-B9-0817, and is subject to special conditions pertaining to information systems, as detailed in Appendix D, ("Recovery Act Justice Assistance Grant, Grant Award Number: 2009-SB-B9-0817; Documentation of Compliance") of this Authorization Document. Contractor must comply with 28 C.F.R. Part 23, Criminal Intelligence Systems Operating Policies, in its performance of this Agreement. This is a Project

constraint and shall be included as such in the Project Narrative Plan.

### 3.3 Venues Where Work Will Be Performed

Work will be performed, as required, at the San Francisco Adult Probation Department offices, various City and County of San Francisco IT infrastructure and data sites, and Contractor's Project offices and will be performed during normal business hours unless otherwise mutually agreed upon.

### 3.4 Contractor Acknowledges That City's Servers and Infrastructure Are Adequate

Contractor acknowledges that the City's servers and related hardware infrastructure meet or exceed the minimum recommended installation and operational specifications provided by Contractor for both the server and client computers.

## 4 PROJECT ORGANIZATION

The success of the Project is predicated on the coordination between all Stakeholders. City and Contractor will each appoint a Project Manager for this effort. City has also contracted with an IT Governance and Project Management Consultant who will act as Project Coordinator to provide required documentation, vendor oversight, and other services, as well as experienced guidance for liaison with the JUSTIS Program.

### 4.1 Project Organization Chart

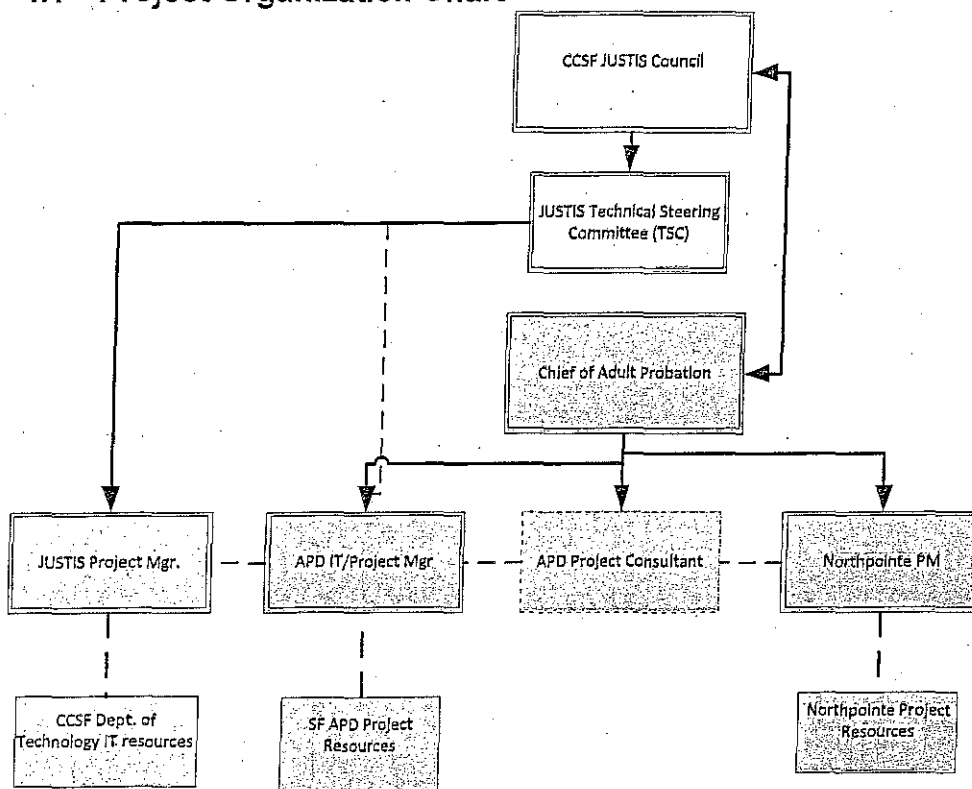


Figure 1 Project Organization

## **4.2 Project Management Responsibilities**

### **4.2.1 City Project Management Responsibilities**

The SF-APD project manager (PM) will manage and coordinate the SF-APD project team's internal project assignments and work with the Contractor Project Team.

The City Project Manager will:

- a) Draft the Narrative Project Plan and V&V Plan, including the Requirements Specification and Tracking Matrix, the Project Acceptance Test Plan, and the Go Live sub-plan, as detailed in Sections 2.1.3 and 2.1.4 above, in conformance with the JUSTIS Program SDLC, and in collaboration with the Contractor. The City Project Manager will also ensure that all Project Plans are approved by both the City and Contractor, kept under document version control and regularly reviewed and updated to reflect the most current status of the Project.
- b) Ensure that, upon notification from Contractor, selected SF-APD Users be brought into the configuration and development process to provide input regarding the requirements and design planning to ensure the Application will be correctly designed to support User workflows and processes, and will function as expected.
- c) Provide sufficient resources to review, test or V&V and approve the deliverables, pursuant to the V&V Plan.

### **4.2.2 Contractor Project Management Responsibilities**

The Contractor Project Manager shall have the knowledge, skills and authority necessary to ensure the Project is on schedule, budget and scope and will be responsible for meeting Contractor's obligations under this Contract toward a successful implementation. The Contractor Project Manager shall arrange for their personnel to be available as needed to adhere to the schedule. They will track all checklists, Acceptance Testing, certifications, and documentation.

The Contractor Project Manager shall:

- a) Ensure that the Project Narrative Plan and V&V Plan, including the Master Requirements Tracking Matrix, the Project Acceptance Test Plan, and the Go Live sub-plan, as drafted by the City Project Manager, are reviewed and agreed to by Contractor. Assist the City Project Manager, through regular review and reporting of any discrepancies, to keep the Project Narrative Plan and V&V Plan regularly updated to reflect the most current status of the Project.
- b) Ensure that all responsibilities and activities assigned to Contractor staff by this Agreement through its SOW and the Project Narrative and V&V Plans are fulfilled and completed as scheduled and that high Project quality is maintained.
- c) Ensure that adequate key Contractor resources are dedicated to the Project in order to maintain timelines. These resources are critical in establishing the Project requirements.

- d) Notify the City Project Manager when representatives of all groups of SF-APD Users should be brought into the process for requirements and design planning and at time of testing, to ensure their input, so that the Application will be correctly designed and will function as expected.
- e) Ensure that status of Project cost, scope, schedule and risk are assessed on a weekly basis and reported to Contractor management and the City Project Manager.
- f) Ensure that regular weekly contact with the City Project Manager is maintained and bi-weekly written reports are sent.
- g) Ensure that all Project activities assigned to Contractor resources in the Project Narrative and V&V Plans are started and completed on schedule, and any issues that may cause schedule slippage are promptly identified, the City Project Manager notified immediately, and that the issues are quickly and properly dealt with according to the Project Narrative and V&V Plans.

#### **4.2.3 Joint Project Management Responsibilities**

Both the City and Contractor Project Managers will collaborate on the following tasks:

- a) Work together to complete the detailed content of the Project Narrative Plan and Project V&V Plan drafted by the City.
- b) Maintain frequent communication with each other by telephone or email, or in on-site meetings, regarding Project issues and status.

## **5 SECURITY**

### **5.1 Physical Security:**

- a) Contractor shall provide certification and written evidence that all Contractor staff assigned to this Project have been fingerprinted and have successfully passed an FBI criminal history background check. Each staff member shall sign an individual Non-Disclosure Agreement as detailed in paragraph 33, "Proprietary or Confidential Information of City," of the License Agreement.
- b) Contractor staff assigned to the Project shall wear their company identification badges at all times. The City will require Contractor to provide a letter of clearance on behalf of each Contractor staff member assigned stating that the Company has found each person to be suitably skilled for the tasks assigned and to be reliable; that each has signed a non-disclosure agreement regarding privacy of San Francisco data and other proprietary materials or intellectual property; and that résumé verification has been completed.

### **5.2 Information Security:**

- a) Contractor shall be responsible for properly establishing security for City's data entered into the Application while the Application, both test and production environments, is located at Contractor's https: secured server on their host site, and for ensuring that such security is conformant, or compliant with, applicable local, California or Federal Department of Justice standards, such as CLETS and 28 C.F.R. Part 23 (Appendix D, *Recovery Act Justice Assistance*

*Grant, Grant Award Number: 2009-SB-B9-0817; Documentation of Compliance* ) governing security of criminal justice or related similar data, and the requirements of HIPAA (Appendix C-1, *Business Associate Addendum*) regarding medical or health history data security. Contractor will provide guidance regarding the implementation of controls for the data's access and use. Contractor agrees to host City's test and production (operational) Application Instance environments on a server secured with the HTTPS protocols.

- b) Contractor shall provide for adequate Administrator and end-user file back-up procedures as part of the installation of the required Instances of the Application Software, and for supplying all back-up media (i.e., diskette or tape) required for existing and new programs and data while installed and operated on Contractor's servers. Following installation by Contractor of the Application on the City's server(s) and approval of the installation by the City, City will be responsible for System file backup and restoration of its data, and provision of required storage media.

## 6 TECHNICAL SUPPORT

Contractor shall provide the support services, as defined in Sections 11, 12 and 13 of the Software License Agreement, to City by phone, email or web five (5) days per week, eight (8) hours per City business day (9 am-6 pm Pacific Standard Time). For critical issues (system down, data loss and/or data corruption). The Contractor shall provide 24x7 support within one hour response time. Contractor shall assist with the implementation of most current Software releases and versions including any fixes, patches and workarounds.

## 7 PROJECT DELIVERABLES

The following are the expected deliverables of this Project.

### 7.1 The Licensed Software

The "baseline" COTS product being acquired from Contractor for this Project is the Northpointe COMPAS 8 Suite with Case Manager. Upon signing of the License Agreement, City will be granted free access to operationally use the Contractor-hosted online version of this product for performing assessments and storing live data. The base product includes the following modules:

- COMPAS Assessment Modules
  - Core
  - Reentry
  - Women
- COMPAS Case Manager Module
  - COMPAS Integrated Case Plan
  - Secondary Assessments:
    - Static 99,
    - VASOR,
    - TCU-Drug Screen,
    - TCU- Criminal Thinking Scale,
    - COMPAS Case Supervision Review,
    - URICA Motivation to Change Assessment,
    - ODARA DV Risk Assessment (in Development),
  - COMPAS Ad Hoc Report Generator
  - COMPAS Service Provider Database

- Supervision Planning
- Event Log
- Case Information:
  - case summary,
  - legal status,
  - assessed needs,
  - sex offender case information,
  - parole case information,
  - program tracking,
  - case notes
  - case termination.
- Scheduling:
  - offender scheduling (includes some community service scheduling),
  - case worker/agent scheduling
- Work and Education History
- Demographics:
  - physical description,
  - contact information,
  - offender contacts,
  - any alias,
  - gang membership
  - miscellaneous demographic information
  - sex offender registration.
- Charges/Court:
  - arrest information,
  - arrest charges,
  - bail/bond information,
  - incarceration information,
  - complaints,
  - compliant charges,
  - docket information,
  - victim information,
  - current charges,
  - pre-trial release,
  - failure to appear,
  - pre-sentence investigation information.
- Operations:
  - batch drug testing,
- Medical History:
  - medical provider,
  - insurance information,
  - treatment history,
  - substance abuse,
  - medical questions,
  - medication information.
- Accounting:
  - fines & costs,
  - program/testing fees,
  - residential inmate accounts

## 7.2 Enhancements to the Base Product

The following lists of required Project elements are those that are currently known and desired to be implemented in the completed and upgraded COTS product that is the final deliverable of this Project. As formal requirements analysis and design activities are implemented, some of these elements may be changed or discarded by City in favor of other requirements, and new items added as they are discovered by City in collaboration with Contractor.

#### **7.2.1 Desired Capabilities of the Completed and Upgraded COMPAS 8 Suite with Case Manager**

- a) Provide improved functionality and ease of use over the existing City case management system without the loss of any required functionality available in the current system.
- b) Provide assessment and case management functionality to support adult probation officers' work with offenders in the community.
- c) Provide aggregate data and reporting capabilities that will be used for evaluating the ability of the agency to reduce recidivism and protect the public.
- d) Provide a continuum of risk and needs data and reporting to support local and state efforts to work across agencies from the time of initial detention in the jail, through final release on probation and parole.
- e) Provide a consolidated database with efficient functionality.
- f) Provide COMPAS data exchange with the California Department of Corrections and Rehabilitation (CDCR) to:
  - 1. facilitate intake protocols in the state reception centers using an automated pre-sentence investigation (PSI) and
  - 2. facilitate successful reentry of people from prison to San Francisco communities.
- g) Provide the ability to track and report performance measures that trigger financial incentives under the SB-678 legislation.

**Objective #1:** Provide the total number of adult probationers (including percentage) on felony probation that will be supervised with evidence-based practices. Data to include, age and sex of probationer, and:

- Number of probationers who successfully complete probation;
- Number of probationers who violate probation and receive additional terms and conditions;
- and
- Number of probation revocations due to new charges.

**Objective #2:** Provide the total number of contacts with each active adult probationer per month. Data to include number of contacts:

- made in the field;
- in-person in the office; and
- by phone.

**Objective #3:** Provide the total number of adult probationers referred to outpatient treatment programs. (Please identify the individual treatment programs/services referred including, but not limited to, drug/alcohol treatment; domestic violence, anger management, job training, family counseling, education, etc.)

**Objective #4:** Provide the total number of adult probationers referred to a residential treatment program. Data to include:

- number of treatment days provided;
  - number of probationers who dropped out;
  - number of probationers terminated from residential treatment; and
  - number of probationers who successfully completed the program
- h) Provide the capacity within the City to answer routine and reasonable questions about the quality and impact of probation services and report the results.
- i) Provide functionality to support the Pre-Sentence Investigation (PSI).
- j) Integrate the Supervised Release File (SRF) functionality consisting of an FTP process to create an output file of the extracted data from the SF-APD database and send it to the California Department of Justice. The process will also trap transmission errors and create and send error messages to the SF-APD database.
- k) Provide an interface to the JUSTIS Hub database.
- l) Provide data collection and reporting capabilities that support the City's plan to move toward a COMPSTAT performance measurement system.
- m) Support the JUSTIS Infrastructure Project's model of "federated" architecture, e.g., the Application shall be ultimately hosted, secured and maintained by the CCSF Department of Technology at the City's Data Center, with failover to the secondary site at the Hall of Justice, and City will administer local use and access.

### 7.3 Configuration and Tailoring of the Standard Software

A number of modifications are anticipated and general need areas have been identified that will require tailoring. These items will be addressed in order of priority, as specified by City, over the three phases of this Project. The discovery, requirements and design activities of the Project will fully determine the extent and details of the modifications. Items that are currently expected to require modification or tailoring are as follows (this list is subject to change based on discoveries during the requirements elicitation and Project planning stages):

#### 7.3.1 Modification/Tailoring Items

Contractor shall develop functionality during Phase I of the Project, including, but not limited to, the following, based on currently known City requirements. Some items may change in the course of the Project, at City's request.

- a) System configuration, setup, administration
- b) Capture complete probationer (client) Information during the City intake process



- c) Capability of assigning and transfer clients between officers, Units and external organization.
- d) Capability of searching, viewing the clients based on location and officer
- e) Search Capability for clients IDs, Names, Demographics, Location, Status
- f) Search for Persons associated with the client on the case basic
- g) Tracing capability of the Historical client information
- h) Tracing capability of the Officer actions historical information
- i) Capability capture the client Cases, Court Orders and City requests actions, Client's charges, Terms and Condition of Probation and violation of probation.
- j) Capability to track the City reports submission business flow with alerts to notify responsible parties of upcoming required report submission (state, federal, etc).
- k) Capability to manage the client location assignment
- l) Capability of tracking and managing client's required activities, including community service scheduling, work crew scheduling, attendance and batch scheduling for classrooms/groups, and workload driver "to do" lists; batch accounting; risk and needs assessment and development of case plan.
- m) Documentation
- n) Programs and Services
- o) Capability of capture and track the location the physical client's file
- p) Capability of assigning the work items to the officers and monitor the progress and completion of work.
- q) Configurable Dashboard
- r) Presentence Investigation (PSI)
- s) City existing systems Data Conversion
- t) Alerts and Notifications
- u) Training
- v) Custom fields for each page
- w) JUSTIS Interface, based on Use Cases
- x) SRF data processing for submission to DOJ (extracting probationers' data from COMPAS to an ASCII file, formatting data according to DOJ standards (if need it) submitting the file for ftp process, process DOJ's return an output file and an error message and updating COMPAS 8 Suite database to reflect the status of the transaction.
- y) Capability to Export data to a file
- z) Drug Court Module, including:
  - Judge screen
  - supervisor level case progress screen
  - violation view screen
  - program progress notes
  - violation/non-compliance summary
  - program attendance information

### 7.3.2 Data Conversion

City will facilitate and provide access to the Contractor to the SF-APD existing system's data. The Data Conversion Plan will be provided as a section of the Narrative Project Plan.

### 7.3.3 Analysis of Known Deltas Between COMPAS 8 and City Current System

The following table illustrates currently known deltas between the existing COMPAS 8 Suite product and the current City case management System Application. Contractor shall make such modifications or enhancements to the existing COMPAS 8 Suite product to provide the same or similar functionality as

exists in the City's current system, as are agreed upon between City and Contractor, following completion of each Iteration of requirements elicitation as specified in 2.1.5 and 2.1.13 above, and in satisfaction of City's requirements as stated in the Project Narrative Plan and V&V Plan.

| Item   | Description  |
|--|--|
| <b>Search Capability</b>   |  |
| Historical Record Summary Search   | Does not currently exist in the COMPAS Application. Additional search capability and case/person history screens would be added.   |
| <b>Client Intake</b>   |  |
| Contact vs. Case   | Currently the COMPAS Application does not identify cases and contacts/bookings. Clarification on how this will work in COMPAS will be established during the requirements phase.   |
| Client Intake Information  | Additional information is needed in COMPAS to meet the City requirements   |
| <b>Assign and Transfer Client</b>  |  |
| Workflow in assigning clients to primary officer   | Currently the functionality in COMPAS may not meet the City requirements when transferring offenders and tasks to different officers and locations. The COMPAS system would be modified to fit the requirements of the City.   |
| Transferring client from supervisor to subordinates  |  |
| Transfer client(s) or client tasks (case, case notes, case plan etc.) between officers in the same location  |  |
| Transfer client to a new location internal to City (different Unit or Division) or external outside agency   |  |
| Track transfer of ownership history (Ability to Query assigned Clients by Unit and by Officer)   |  |
| <b>Court Cases, Orders and Probation terms</b>   |  |
| Client's Court Cases, Court Orders, City and Court Requests, Charges, Sentence, Supervision Terms, Conditions, Disposition and Violation of Probation. The City reports submission business flow | <p>The City use of cases, charge, order, requests, sentence, supervision, conditions, terms and disposition appear to be integrated with work tasks and assignments. Full analysis is needed to deconstruct and understand the requirements of this process.</p> <p>Modifications will be needed to fill the requirements of the City in this process.</p> |
| Other Jurisdiction Registration  | Other Jurisdiction Registration is currently not recorded in COMPAS.   |
| <b>Manage the Client's system location assignment</b>  |  |
| Attach interested locations to a client  | Attaching work items (tasks) for one offender to multiple officers by the primary officer and/or primary officer's supervisor. This functionality is a   |

|   |   |
|---|---|
| Attach work item to an officer where their location is attached to the client | cross between caseload permissions and workload driver and will require tailoring.  |
| <b>Programs and Services</b>  |   |
| Conditions of Sentence Credits and Performance Measures                       | COMPAS does not currently have this feature and modifications may be needed.  |
| Offender Evaluation upon program completion                                   | COMPAS does not currently have this feature and modifications may be needed.  |
| <b>Reporting</b>  |   |
| SQL Server Reporting Services   | If extreme reporting requirements are needed Contractor suggests the use of SQL Server Reporting Services. Contractor will generate full databases documentation and diagrams to make the process of creating custom reports as easy as possible. |
| <b>Other Additional Items</b>   |   |
| PSI Generation  | Tailoring of the PSI Report data entry and reporting format in COMPAS.  |
| Field Matchups  | Ensure all CM fields have a data entry interface in COMPAS.   |
|   |   |

#### 7.3.4 COMPAS 8 Items in Contractor Development Process

(This list is subject to change based on discoveries during Phase I)

| Item                   | Description   |
|------------------------|---|
| <b>Configuration</b>   |   |
| Caseload               | Caseload transferring and management may need to be modified to meet data sharing requirements.   |
| Agency and Unit        | In order to comply with the vision of sharing data across counties and state level agencies, the agency system will need to allow for "unit" organization inside an agency. Permissions and configuration will be modified accordingly. |
| <b>Client Intake</b>   |   |
| Family Information     | Family information is currently not recorded in COMPAS.   |
| Languages              | Language information is currently not records in COMPAS.  |
| Military History       | Military History is currently not recorded in COMPAS.   |
| Finances               | Finance information is currently not recorded in COMPAS.  |
| Vehicle Information    | Vehicle Information is currently not recorded in COMPAS.  |
| <b>Case Management</b> |   |
| Office / Officer Diary | COMPAS System currently allows the officer to create appointments in his/her calendar from the scheduler screen. Additional information is needed in COMPAS to meet City requirements.  |

|   |   |
|---|---|
| Programs and Services                     |   |
| Program Referrals                         | These features will be added components and should require minimal tailoring.   |
| Service Provider Schedules                |   |
| Client Attendance                         |   |
| Client Physical File Tracking             |   |
| Transferring of files within a location   | COMPAS has a paper file-tracking feature scheduled for a later development phase. Analysis is needed determine the extent of modifications needed for City. Details will be determined during the requirements documentation process.                                     |
| Transferring of files to another location |   |
| Request File Transfer                     |   |
| File Merging                              |   |
| File Delivery and Receipts Generation     |   |
| File Transaction History                  |   |
| Searching and Administrative Reports      |   |
| Workload Management                       |   |
| Contractor Workload Driver System         | Contractor has currently developed requirements for the "workload driver" that will be used for assigning work tasks. Additional information may be needed in COMPAS to meet City requirements.   |
| Reporting                                 |   |
| PSI Generation                            | Generate PSI Report template and data entry inside the COMPAS System. The System would also manage the storage of the PSI report.   |
| Ad-Hoc Report Generator                   | The COMPAS System has its own report generator module. Enhancements to the Application to fit City's requirements will also be applied to the report generator system.  |
| Dashboard                                 | Dashboard parts are used for quick reports and can be tailored for each user.   |
| Quick Charts                              | Quick charts can be used to generate quick rosters and charts of all data elements in the System. Contractor staff and eventually onsite staff can easily add these quick charts.   |
| Required Interfaces                       |   |
| JUSTIS Interface                          | JUSTIS Interface will be developed based on City Use Cases. Data elements specified in the City Use Cases (Exhibit 8) will be available in COMPAS Application User Interface (UI).  |
| CLETS Interface                           | California Law Enforcement Tracking System interface functionality will be developed based on CA CLETS requirements and integrated into COMPAS System. This interface will use City's existing connection to the SF Police Department's Level II switch for CLETS access. |
| ICOTS Interface                           | Interstate Compact Offender Tracking System interface functionality will be developed based on federal Interstate Compact requirements and integrated   |

|                               |  |
|-------------------------------|--|
|                               | into COMPAS 8 Suite with Case Manager System to allow probation officers to initiate, receive and track interstate probationer case transfers.   |
| SRF                           | Supervised Release File functionality will be developed based on DOJ requirements and integrated into COMPAS System.   |
| <b>Other Additional Items</b> |  |
| Presentence Investigation     | Ability to enter data and produce a Presentence Investigation Report in the COMPAS System. User will select fields from a universe of known presentence data elements and will configure output consistent with the needs of the jurisdiction. |
| Custom fields for each page   | City may need control over modified fields on each data entry screen.  |
| Alerts and Notices            | Alert and Notice System to properly alert interested parties when a specific event takes place on the offender.  |

## 8 PHASES I-III PROJECT MILESTONES

Milestone Dates shown in estimated completion date column are included as a guide to estimated durations for each milestone and do not imply payment based on any set duration or calendar schedule. Actual schedule milestone dates and related payments will be developed during the planning stage of each Project phase and incorporated into the Project Narrative Plan. Payment will be authorized by the City by invoice payment approval as satisfactory work deliverables are received and accepted by City from Contractor as detailed in the schedule below and Appendix B.

The Project is estimated to be completed in one calendar year (12 months). In the first 30 days following the Effective Date of the Agreement, Contractor will work with the City to finalize a more detailed timeline including Project milestones and deliverables.

### 8.1 Milestones with Payment Schedule

| Milestone # | Estimated Duration (Business Days)                           | Milestones   | Payment Amount |
|-------------|--|--|----------------|
| 0           | 3 days   | On signing of the Agreement, Contractor's design engineer(s) will be scheduled to come to City Site for at least 3 Business Days to collect and finalize the requirements for Milestone #1 and Milestone #2. |                |
| 1           | Within 30 Days following the Contractor's requirements visit | Contractor completes and delivers first Iteration of written detailed functional requirements, and System architecture to the City Project Manager, completing milestone #1                                  |                |
| 2           | City Approves and Accepts First Iteration                    | City reviews mutually derived Functional Requirements in Milestone #1. Upon the City approval of first   |                |

|   |  |  |           |
|---|--|--|-----------|
|   | Requirements Spec within 20 days following its delivery by Contractor                            | Iteration requirements (milestone sign-off) the payment will be authorized by the City   | \$158,600 |
| 3 | Within 40 Days after City approves milestone #2  | Contractor Completes and Delivers the First Iteration Design Documents listed in Section 2.1.6 above to the City Project Manager   |           |
| 4 | City Reviews and Approves Design Documents within 25 days following their delivery by Contractor | City reviews and approves mutually derived Design Documents in Milestone #3.   |           |
| 5 | Within *90 Days after City approves milestone #4   | Contractor Completes Build and internal Test of Application and integrated interfaces. This includes: Delivery and implementation of the COMPAS Application on the Contractor's testing environment for evaluation by the City. Note that this Milestone and Milestone 6 may be repeated several times as "Iterations" of development of successive versions of the Application, under the Agile development methodology. Each Iteration's product will be individually tested and accepted, but only approval of the FINAL Iteration product will initiate milestone 7 and subsequent milestones. |           |
| 6 | *Up to 60 days after City approves milestone #5  | City conducts initial testing of the Application produced in Milestone #5 on Contractor's Testing environment. Note that this Milestone and Milestone 5 may be repeated several times as "Iterations" of development of successive versions of the Application, under the Agile development methodology. Each Iteration's product will be individually tested for City approval, but only City approval of the FINAL Iteration release product will initiate milestone 7 and subsequent milestones.  |           |
| 7 | 30 Days after  | Contractor deploys completed FINAL   |           |

|    |   |  |            |
|----|---|--|------------|
|    | City approves milestone #6                      | release of the COMPAS 8 Application on City environment for Acceptance Testing.  |            |
| 8  | 30 Days after City approves milestone #7        | City conducts Acceptance Testing of the FINAL Application release delivered in Milestone #7 on City's Testing environment, according to the Acceptance Test Plan of the Project V&V Plan. Upon City approval (milestone sign-off) payment will be authorized by the City.  | \$76,800   |
| 9  | Within 30 Days after City approves milestone #8 | Contractor delivers the final versions of User and Operation/Administration manuals and conducts 5 training sessions (3 for users and 2 for System Administrators for a total of 10 days of training). Contractor installs and implements City approved Application and interfaces on the production environment at the City's site.<br>Contractor shall provide Go-Live System assurance services for the COMPAS Application and all included interfaces.                                       |            |
| 10 | Within 30 Days after City approves milestone #9 | On delivery by Contractor of written System assurance certification and City approval of COMPAS Application and all included interfaces' readiness for Go Live at City site, and following successful completion, with Contractor's support, of the Go Live sub-plan of the Project V&V Plan, including delivery of User and Administrator manuals and training and commencement of production operation of the System by the City, (milestone sign-off) payment will be authorized by the City. | \$25,000** |
| 11 | 90 Days after City approves milestone #10       | On satisfactory performance of the COMPAS Application and JUSTIS Interface System for a period of no fewer than 90 days following commencement of production operation of the Application by the City, and on approval and signoff of the Final V&V Report (milestone 11 sign-off) by the City the final   | \$148,600  |

|  |  |  |  |
|--|--|--|--|
|  |  | payment will be authorized by the City and the Project formally Accepted and closed.   |  |
|  |  | *A final deliverable schedule including duration of Acceptance Testing and Go-Live date to be determined once Project plan and timelines are established during City and Contractor Project Management meetings. |  |
|  |  | ** The amount of \$ 25,000 for training and product manuals is not a part of \$384,000   |  |
|  |  |  |  |

## 9 PROJECT PHASES I-III TIME & COST ESTIMATE

### 9.1 Time & Cost Estimate Gantt Chart

| Work Versions - Versions will involve use of multiple staff resources                  | Estimate (in days) | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 |
|--|--------------------|---|---|---|---|---|---|---|---|---|----|----|----|
| System Analysis, Requirements and Design   | 90                 |   |   |   |   |   |   |   |   |   |    |    |    |
| Application Development  | 290                |   |   |   |   |   |   |   |   |   |    |    |    |
| Data Conversion  | 90                 |   |   |   |   |   |   |   |   |   |    |    |    |
| JUSTIS Interface – based on JUSTIS Hub Interface Use Cases                             | 160                |   |   |   |   |   |   |   |   |   |    |    |    |
| Help Documentation   | 10                 |   |   |   |   |   |   |   |   |   |    |    |    |
| Staff Training   | 10                 |   |   |   |   |   |   |   |   |   |    |    |    |
| Total Estimate @ \$150/hr  | \$768,000          |   |   |   |   |   |   |   |   |   |    |    |    |
| 50% Development Discount: Total Enhancement and Interface Costs @ \$75/hr. = \$384,000 | \$384,000          |   |   |   |   |   |   |   |   |   |    |    |    |

### 9.2 Time and Cost Estimate Table

| LINE ITEMS                               | DAYS | PRICE     |
|--|------|-----------|
| System Analysis and Requirements Design* | 90   | \$108,000 |
| Application Development and Testing      | 290  | \$348,000 |
| Data Conversion                          | 90   | \$108,000 |
| JUSTIS Interface Development and Testing | 160  | \$192,000 |



|   |     |                  |
|---|-----|------------------|
| Documentation   | 10  | \$12,000         |
| Development Price   | 640 | \$768,000        |
| <b>Final Pricing on Development Includes 50% Discount</b> |     | <b>\$384,000</b> |

\*Includes T&L and on-site work by Contractor business analysts

|   |            |                  |
|---|------------|------------------|
| Training  | 10         | \$25,000         |
| User Training Materials @ \$35 per user (100 users) | \$35 x 100 | \$3,500          |
| Pre-Approved Travel, not to exceed                  |            | \$25,000         |
| <b>Total Contract Price</b>                         |            | <b>\$437,500</b> |

## Appendix B

### Calculation of Charges

#### **Five Year Pricing for COMPAS Licensed Software and Software Support and Maintenance Fees**

In accordance with Section 19 of this Agreement, the Contractor's total compensation under this Agreement is detailed below, inclusive of all costs required to complete all work specified in Appendix A. In no event shall the total costs under this Agreement exceed the amount provided in Section 19 of this Agreement.

#### **Travel expenses (budgeted in Appendix A. "Statement of Work," Section 9.2 Time and Cost Estimate table):**

Actual and reasonable costs of travel, meals, lodging must be approved in advance by City. The cost must be within reason when compared to available alternatives. Contractor must submit all invoices for travel must include documentation of expenditures. Billing for travel time is not allowed.

In general, hotels should be selected for proximity to the business site, adequacy of facilities, and cost. Reservations made early will frequently be at more favorable rates than reservations made at the last minute. When making arrangements for local transportation, all available alternatives should be considered. Buses/limos, subways, and other public transportation are frequently good alternatives to rental cars and taxis, both in terms of time and costs.

Every effort should be made to use discount airfares where they are available and to purchase tickets two weeks in advance where possible. No payment under this Agreement for "expenses" incurred for flights paid for by frequent-flyer miles will be permitted.

#### **Payments for Deliverables or Tasks**

Payments for deliverables/tasks will be paid on a "not-to-exceed" fixed price basis. "Not-to-exceed" means that Contractor shall perform its obligations under the Agreement for the amounts listed in Appendix A, "Statement of Work," Section 9, "Project Phases I-III Time & Cost Estimate," even if Contractor is required to expend more than the number of hours or direct costs listed in the Time and Cost Estimate.

Partial payments will not be made for deliverables/tasks that are not approved by the City or that are not deemed completed by the City.

Payments will be made by City to Contractor within 45 days after the City has received Contractor's payment request, provided that:

- 1) The City has accepted as satisfactory, in the City's sole and absolute discretion, the services rendered by the Contractor to the City in accordance with this Agreement;
- 2) A written status report has been provided to the City by Contractor as part of the Contractor's payment request documenting completion of each task in accordance with Cost and Work Estimate below and associated deliverable/task or activity in accordance with the amounts below for which payment is requested (each status report shall be signed by the SF-APD Project Manager indicating his/her agreement with the Contractor's description of completion in the status report);
- 3) Insurance documentation is current in accordance with Section 28 of the Agreement.

Pricing below is based on a per user fee for licensing of all modules listed above:

| Year   | Notes   | Price   |
|--------|---|---|
| Year 1 | Phases I, II and III Includes Development, Training and Travel costs outlined in SOW – SF-APD shall have free on-line access to COMPAS Suite Modules during this time | \$437,500 (Breakdown detailed in Appendix A, Section 9)     |
| Year 2 | Warranty Period: Year two will commence upon sign off and Acceptance of Application   | No Charge   |
| Year 3 | Pricing based on 100 users. Additional users will increase license fee at a rate of \$650/user.   | Software Support and Maintenance<br><b>Total: \$78,000</b>  |
| Year 4 | Pricing based on 100 users with a 5% increase bringing the per user fee to \$682.50..   | Software Support and Maintenance<br><b>Total: \$81,900</b>  |
| Year 5 | Pricing Based on 100 users. Per user fee is \$682.50.   | Software Support and Maintenance<br><b>Total: \$ 81,900</b> |

Total not to exceed amount for this 5 year period shall be six hundred seventy nine thousand three hundred dollars and no cents (\$679,300.00).

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## **Appendix C**

### **Special Terms and Conditions**

**1. Health Insurance Portability and Accountability Act**

Contractor shall execute the form attached as Appendix "C-1".

**2. Confidential Records**

Contractor acknowledges that any information generated, received or disseminated pursuant to its performance under this Contract is confidential and shall not be disclosed in any manner unless authorized by law.

## APPENDIX C-1

### BUSINESS ASSOCIATE ADDENDUM

This Business Associate Addendum is entered into to address the privacy and security protections for certain information as required by federal law. City and County of San Francisco is the Covered Entity and is referred to below as "CE". The CONTRACTOR is the Business Associate and is referred to below as "BA".

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#### RECITALS

- A. CE wishes to disclose certain information to BA pursuant to the terms of the Contract, some of which may constitute Protected Health Information ("PHI") (defined below).
- B. CE and BA intend to protect the privacy and provide for the security of PHI disclosed to BA pursuant to the Contract in compliance with the Health Insurance Portability and Accountability Act of 1996, Public Law 104-191 ("HIPAA"), the Health Information Technology for Economic and Clinical Health Act, Public Law 111-005 ("the HITECH Act"), and regulations promulgated thereunder by the U.S. Department of Health and Human Services (the "HIPAA Regulations") and other applicable laws.
- C. As part of the HIPAA Regulations, the Privacy Rule and the Security Rule (defined below) require CE to enter into a contract containing specific requirements with BA prior to the disclosure of PHI, as set forth in, but not limited to, Title 45, Sections 164.314(a), 164.502(e) and 164.504(e) of the Code of Federal Regulations ("C.F.R.") and contained in this Addendum.

In consideration of the mutual promises below and the exchange of information pursuant to this Addendum, the parties agree as follows:

#### 1. Definitions

- a. **Breach** shall have the meaning given to such term under the HITECH Act [42 U.S.C. Section 17921].
- b. **Business Associate** shall have the meaning given to such term under the Privacy Rule, the Security Rule, and the HITECH Act, including, but not limited to, 42 U.S.C. Section 17938 and 45 C.F.R. Section 160.103.
- c. **Covered Entity** shall have the meaning given to such term under the Privacy Rule and the Security Rule, including, but not limited to, 45 C.F.R. Section 160.103.

- d. **Data Aggregation** shall have the meaning given to such term under the Privacy Rule, including, but not limited to, 45 C.F.R. Section 164.501.
- e. **Designated Record Set** shall have the meaning given to such term under the Privacy Rule, including, but not limited to, 45 C.F.R. Section 164.501.
- f. **Electronic Protected Health Information** means Protected Health Information that is maintained in or transmitted by electronic media.
- g. **Electronic Health Record** shall have the meaning given to such term in the HITECH Act, including, but not limited to, 42 U.S.C. Section 17921.
- h. **Health Care Operations** shall have the meaning given to such term under the Privacy Rule, including, but not limited to, 45 C.F.R. Section 164.501.
- i. **Privacy Rule** shall mean the HIPAA Regulation that is codified at 45 C.F.R. Parts 160 and 164, Subparts A and E.
- j. **Protected Health Information or PHI** means any information, whether oral or recorded in any form or medium: (i) that relates to the past, present or future physical or mental condition of an individual; the provision of health care to an individual; and (ii) that identifies the individual or with respect to where there is a reasonable basis to believe the information can be used to identify the individual, and shall have the meaning given to such term under the Privacy Rule, including, but not limited to, 45 C.F.R. Section 164.501. Protected Health Information includes Electronic Protected Health Information [45 C.F.R. Sections 160.103, 164.501].
- k. **Protected Information** shall mean PHI provided by CE to BA or created or received by BA on CE's behalf.
- l. **Security Rule** shall mean the HIPAA Regulation that is codified at 45 C.F.R. Parts 160 and 164, Subparts A and C.
- m. **Unsecured PHI** shall have the meaning given to such term under the HITECH Act and any guidance issued pursuant to such Act including, but not limited to, 42 U.S.C. Section 17932(h).

2. **Obligations of Business Associate**

- a. **Permitted Uses.** BA shall not use Protected Information except for the purpose of performing BA's obligations under the Contract and as permitted under the Contract and Addendum. Further, BA shall not use Protected Information in any manner that would constitute a violation of the Privacy Rule or the HITECH Act if so used by CE. However, BA may use Protected Information (i) for the proper management and

administration of BA, (ii) to carry out the legal responsibilities of BA, or (iii) for Data Aggregation purposes for the Health Care Operations of CE [45 C.F.R. Sections 164.504(e)(2)(i), 164.504(e)(2)(ii)(A) and 164.504(e)(4)(i)].

- b. **Permitted Disclosures.** BA shall not disclose Protected Information except for the purpose of performing BA's obligations under the Contract and as permitted under the Contract and Addendum. BA shall not disclose Protected Information in any manner that would constitute a violation of the Privacy Rule or the HITECH Act if so disclosed by CE. However, BA may disclose Protected Information (i) for the proper management and administration of BA; (ii) to carry out the legal responsibilities of BA; (iii) as required by law; or (iv) for Data Aggregation purposes for the Health Care Operations of CE. If BA discloses Protected Information to a third party, BA must obtain, prior to making any such disclosure, (i) reasonable *written* assurances from such third party that such Protected Information will be held confidential as provided pursuant to this Addendum and only disclosed as required by law or for the purposes for which it was disclosed to such third party, and (ii) a *written* agreement from such third party to immediately notify BA of any breaches of confidentiality of the Protected Information, to the extent it has obtained knowledge of such breach [42 U.S.C. Section 17932; 45 C.F.R. Sections 164.504(e)(2)(i), 164.504(e)(2)(i)(B), 164.504(e)(2)(ii)(A) and 164.504(e)(4)(ii)].
- c. **Prohibited Uses and Disclosures.** BA shall not use or disclose Protected Information for fundraising or marketing purposes. BA shall not disclose Protected Information to a health plan for payment or health care operations purposes if the patient has requested this special restriction, and has paid out of pocket in full for the health care item or service to which the PHI solely relates 42 U.S.C. Section 17935(a). BA shall not directly or indirectly receive remuneration in exchange for Protected Information, except with the prior written consent of CE and as permitted by the HITECH Act, 42 U.S.C. Section 17935(d)(2); however, this prohibition shall not affect payment by CE to BA for services provided pursuant to the Contract.
- d. **Appropriate Safeguards.** BA shall implement appropriate safeguards as are necessary to prevent the use or disclosure of Protected Information otherwise than as permitted by the Contract or Addendum, including, but not limited to, administrative, physical and technical safeguards that reasonably and appropriately protect the confidentiality, integrity and availability of the Protected Information, in accordance with 45 C.F.R. Section 164.308(b)]. BA shall comply with the policies and procedures and documentation requirements of the HIPAA Security Rule, including, but not limited to, 45 C.F.R. Section 164.316 [42 U.S.C. Section 17931]

- e. **Reporting of Improper Access, Use or Disclosure.** BA shall report to CE in writing of any access, use or disclosure of Protected Information not permitted by the Contract and Addendum, and any Breach of Unsecured PHI of which it becomes aware without unreasonable delay and in no case later than 10 calendar days after discovery [42 U.S.C. Section 17921; 45 C.F.R. Section 164.504(e)(2)(ii)(C); 45 C.F.R. Section 164.308(b)].
- f. **Business Associate's Agents.** BA shall ensure that any agents, including subcontractors, to whom it provides Protected Information, agree in writing to the same restrictions and conditions that apply to BA with respect to such PHI. If BA creates, maintains, receives or transmits electronic PHI on behalf of CE, then BA shall implement the safeguards required by paragraph c above with respect to Electronic PHI [45 C.F.R. Section 164.504(e)(2)(ii)(D); 45 C.F.R. Section 164.308(b)]. BA shall implement and maintain sanctions against agents and subcontractors that violate such restrictions and conditions and shall mitigate the effects of any such violation (see 45 C.F.R. Sections 164.530(f) and 164.530(e)(1)).
- g. **Access to Protected Information.** BA shall make Protected Information maintained by BA or its agents or subcontractors available to CE for inspection and copying within ten (10) days of a request by CE to enable CE to fulfill its obligations under the Privacy Rule, including, but not limited to, 45 C.F.R. Section 164.524 [45 C.F.R. Section 164.504(e)(2)(ii)(E)]. If BA maintains an Electronic Health Record, BA shall provide such information in electronic format to enable CE to fulfill its obligations under the HITECH Act, including, but not limited to, 42 U.S.C. Section 17935(e).
- h. **Amendment of PHI.** Within ten (10) days of receipt of a request from CE for an amendment of Protected Information or a record about an individual contained in a Designated Record Set, BA or its agents or subcontractors shall make such Protected Information available to CE for amendment and incorporate any such amendment to enable CE to fulfill its obligation under the Privacy Rule, including, but not limited to, 45 C.F.R. Section 164.526. If any individual requests an amendment of Protected Information directly from BA or its agents or subcontractors, BA must notify CE in writing within five (5) days of the request. Any approval or denial of amendment of Protected Information maintained by BA or its agents or subcontractors shall be the responsibility of CE [45 C.F.R. Section 164.504(e)(2)(ii)(F)].
- i. **Accounting Rights.** Within ten (10) calendar days of notice by CE of a request for an accounting for disclosures of Protected Information or upon any disclosure of Protected Information for which CE is required to account to an individual, BA and its agents or subcontractors shall make available to CE the information required to provide an accounting of



disclosures to enable CE to fulfill its obligations under the Privacy Rule, including, but not limited to, 45 C.F.R. Section 164.528, and the HITECH Act, including but not limited to 42 U.S.C. Section 17935(c), as determined by CE. BA agrees to implement a process that allows for an accounting to be collected and maintained by BA and its agents or subcontractors for at least six (6) years prior to the request. However, accounting of disclosures from an Electronic Health Record for treatment, payment or health care operations purposes are required to be collected and maintained for only three (3) years prior to the request, and only to the extent that BA maintains an electronic health record and is subject to this requirement. At a minimum, the information collected and maintained shall include: (i) the date of disclosure; (ii) the name of the entity or person who received Protected Information and, if known, the address of the entity or person; (iii) a brief description of Protected Information disclosed; and (iv) a brief statement of purpose of the disclosure that reasonably informs the individual of the basis for the disclosure, or a copy of the individual's authorization, or a copy of the written request for disclosure. In the event that the request for an accounting is delivered directly to BA or its agents or subcontractors, BA shall within five (5) calendar days of a request forward it to CE in writing. It shall be CE's responsibility to prepare and deliver any such accounting requested. BA shall not disclose any Protected Information except as set forth in Sections 2.b. of this Addendum [45 C.F.R. Sections 164.504(e)(2)(ii)(G) and 165.528]. The provisions of this subparagraph h shall survive the termination of this Agreement.

- j.* **Governmental Access to Records.** BA shall make its internal practices, books and records relating to the use and disclosure of Protected Information available to CE and to the Secretary of the U.S. Department of Health and Human Services (the "Secretary") for purposes of determining BA's compliance with the Privacy Rule [45 C.F.R. Section 164.504(e)(2)(ii)(H)]. BA shall provide to CE a copy of any Protected Information that BA provides to the Secretary concurrently with providing such Protected Information to the Secretary.
- k.* **Minimum Necessary.** BA (and its agents or subcontractors) shall request, use and disclose only the minimum amount of Protected Information necessary to accomplish the purpose of the request, use or disclosure. [42 U.S.C. Section 17935(b); 45 C.F.R. Section 164.514(d)(3)] BA understands and agrees that the definition of "minimum necessary" is in flux and shall keep itself informed of guidance issued by the Secretary with respect to what constitutes "minimum necessary."
- l.* **Data Ownership.** BA acknowledges that BA has no ownership rights with respect to the Protected Information.

- m. **Business Associate's Insurance.*** BA shall maintain a sufficient amount of insurance to adequately address risks associated with BA's use and disclosure of Protected Information under this Addendum.
- n. **Notification of Breach.*** During the term of the Contract, BA shall notify CE within twenty-four (24) hours of any suspected or actual breach of security, intrusion or unauthorized use or disclosure of PHI of which BA becomes aware and/or any actual or suspected use or disclosure of data in violation of any applicable federal or state laws or regulations. BA shall take (i) prompt corrective action to cure any such deficiencies and (ii) any action pertaining to such unauthorized disclosure required by applicable federal and state laws and regulations.
- o. **Breach Pattern or Practice by Covered Entity.*** Pursuant to 42 U.S.C. Section 17934(b), if the BA knows of a pattern of activity or practice of the CE that constitutes a material breach or violation of the CE's obligations under the Contract or Addendum or other arrangement, the BA must take reasonable steps to cure the breach or end the violation. If the steps are unsuccessful, the BA must terminate the Contract or other arrangement if feasible, or if termination is not feasible, report the problem to the Secretary of DHHS. BA shall provide written notice to CE of any pattern of activity or practice of the CE that BA believes constitutes a material breach or violation of the CE's obligations under the Contract or Addendum or other arrangement within five (5) calendar days of discovery and shall meet with CE to discuss and attempt to resolve the problem as one of the reasonable steps to cure the breach or end the violation.
- p. **Audits, Inspection and Enforcement.*** Within ten (10) calendar days of a written request by CE, BA and its agents or subcontractors shall allow CE to conduct a reasonable inspection of the facilities, systems, books, records, agreements, policies and procedures relating to the use or disclosure of Protected Information pursuant to this Addendum for the purpose of determining whether BA has complied with this Addendum; provided, however, that (i) BA and CE shall mutually agree in advance upon the scope, timing and location of such an inspection, (ii) CE shall protect the confidentiality of all confidential and proprietary information of BA to which CE has access during the course of such inspection; and (iii) CE shall execute a nondisclosure agreement, upon terms mutually agreed upon by the parties, if requested by BA. The fact that CE inspects, or fails to inspect, or has the right to inspect, BA's facilities, systems, books, records, agreements, policies and procedures does not relieve BA of its responsibility to comply with this Addendum, nor does CE's (i) failure to detect or (ii) detection, but failure to notify BA or require BA's remediation of any unsatisfactory practices, constitute acceptance of such practice or a waiver of CE's enforcement rights under the Contract or

Addendum, BA shall notify CE within ten (10) calendar days of learning that BA has become the subject of an audit, compliance review, or complaint investigation by the Office for Civil Rights.

### 3. Termination

- a. **Material Breach.** A breach by BA of any provision of this Addendum, as determined by CE, shall constitute a material breach of the Contract and shall provide grounds for immediate termination of the Contract, any provision in the Contract to the contrary notwithstanding. [45 C.F.R. Section 164.504(e)(2)(iii)].
- b. **Judicial or Administrative Proceedings.** CE may terminate the Contract, effective immediately, if (i) BA is named as a defendant in a criminal proceeding for a violation of HIPAA, the HITECH Act, the HIPAA Regulations or other security or privacy laws or (ii) a finding or stipulation that the BA has violated any standard or requirement of HIPAA, the HITECH Act, the HIPAA Regulations or other security or privacy laws is made in any administrative or civil proceeding in which the party has been joined.
- c. **Effect of Termination.** Upon termination of the Contract for any reason, BA shall, at the option of CE, return or destroy all Protected Information that BA or its agents or subcontractors still maintain in any form, and shall retain no copies of such Protected Information. If return or destruction is not feasible, as determined by CE, BA shall continue to extend the protections of Section 2 of this Addendum to such information, and limit further use of such PHI to those purposes that make the return or destruction of such PHI infeasible [45 C.F.R. Section 164.504(e)(ii)(I)]. If CE elects destruction of the PHI, BA shall certify in writing to CE that such PHI has been destroyed.

### 4. Limitation of Liability

Any limitations of liability as set forth in the contract shall not apply to damages related to a breach of the BA's privacy or security obligations under the Contract or Addendum.

### 5. Disclaimer

CE makes no warranty or representation that compliance by BA with this Addendum, HIPAA, the HITECH Act, or the HIPAA Regulations will be adequate or satisfactory for BA's own purposes. BA is solely responsible for all decisions made by BA regarding the safeguarding of PHI.

### 6. Certification

To the extent that CE determines that such examination is necessary to comply with CE's legal obligations pursuant to HIPAA relating to certification of its security practices, CE or its authorized agents or contractors, may, at CE's expense, examine BA's facilities, systems, procedures and records as may be necessary for such agents or contractors to certify to CE the extent to which BA's security safeguards comply with HIPAA, the HITECH Act, the HIPAA Regulations or this Addendum.

## **7. Amendment**

- a. Amendment to Comply with Law.* The parties acknowledge that state and federal laws relating to data security and privacy are rapidly evolving and that amendment of the Contract or Addendum may be required to provide for procedures to ensure compliance with such developments. The parties specifically agree to take action as is necessary to implement the standards and requirements of HIPAA, the HITECH Act, the Privacy Rule, the Security Rule and other applicable laws relating to the security or confidentiality of PHI. The parties understand and agree that CE must receive satisfactory written assurance from BA that BA will adequately safeguard all Protected Information. Upon the request of either party, the other party agrees to promptly enter into negotiations concerning the terms of an amendment to this Addendum embodying written assurances consistent with the standards and requirements of HIPAA, the HITECH Act, the Privacy Rule, the Security Rule or other applicable laws. CE may terminate the Contract upon thirty (30) calendar days written notice in the event (i) BA does not promptly enter into negotiations to amend the Contract or Addendum when requested by CE pursuant to this Section or (ii) BA does not enter into an amendment to the Contract or Addendum providing assurances regarding the safeguarding of PHI that CE, in its sole discretion, deems sufficient to satisfy the standards and requirements of applicable laws.

## **8. Assistance in Litigation or Administrative Proceedings**

BA shall make itself, and any subcontractors, employees or agents assisting BA in the performance of its obligations under the Contract or Addendum, available to CE, at no cost to CE, to testify as witnesses, or otherwise, in the event of litigation or administrative proceedings being commenced against CE, its directors, officers or employees based upon a claimed violation of HIPAA, the HITECH Act, the Privacy Rule, the Security Rule, or other laws relating to security and privacy, except where BA or its subcontractor, employee or agent is a named adverse party.

## **9. No Third-Party Beneficiaries**

Nothing express or implied in the Contract or Addendum is intended to confer, nor shall anything herein confer, upon any person other than CE, BA and their respective successors or assigns, any rights, remedies, obligations or liabilities whatsoever.

#### 10. Effect on Contract

Except as specifically required to implement the purposes of this Addendum, or to the extent inconsistent with this Addendum, all other terms of the Contract shall remain in force and effect.

#### 11. Interpretation

The provisions of this Addendum shall prevail over any provisions in the Contract that may conflict or appear inconsistent with any provision in this Addendum. This Addendum and the Contract shall be interpreted as broadly as necessary to implement and comply with HIPAA, the HITECH Act, the Privacy Rule and the Security Rule. The parties agree that any ambiguity in this Addendum shall be resolved in favor of a meaning that complies and is consistent with HIPAA, the HITECH Act, the Privacy Rule and the Security Rule.

#### 12. Replaces and Supersedes Previous Business Associate Addendums or Agreements

This Business Associate Addendum replaces and supersedes any previous business associate addendums or agreements between the parties hereto.

IN WITNESS WHEREOF, the parties hereto have duly executed this Addendum as of the latter of the dates that the parties signed below.

#### COVERED ENTITY

By: [Signature]  
Print Name: Wendy S. Still  
Title: Chief Adult Probation Officer  
Date: 3/9/11

#### BUSINESS ASSOCIATE

By: [Signature]  
Print Name: Brian Mattson  
Title: President  
Date: 3/08/11

## Appendix D

Recovery Act Justice Assistance Grant, Grant Award Number: 2009-SB-B9-0817;  
Documentation of Compliance. (Document starts in the next page.)

TO GRANT FILE:

RECOVERY ACT JUSTICE ASSISTANCE GRANT  
GRANT AWARD NUMBER: 2009-SB-B9-0817

DOCUMENTATION OF COMPLIANCE WITH SPECIFIED  
SPECIAL CONDITIONS PERTAINING TO INFORMATION TECHNOLOGY  
SYSTEMS

PURPOSE

The purpose of this document is to:

1. Acknowledge that the information technology equipment and software intended to be purchased with Recovery Act Justice Assistance Grant (JAG) funds may be subject to the below noted special conditions pertaining to information technology systems;
2. Document the steps taken by the City and County of San Francisco (the City) to comply with the below noted special conditions by determining the applicability of each special condition to the City's proposed Recovery Act JAG information technology purchases;
3. Provide sufficient explanation and documentation to support a determination of non-applicability or, if necessary, to detail and document the steps taken by the City to fulfill the requirements of the applicable special condition(s).

PROPOSED INFORMATION TECHNOLOGY PROJECTS

As detailed in the grant proposal, Recovery Act JAG funds are intended to support critical improvements to the City's public safety/law enforcement information technology infrastructure currently known as JUSTIS. Specifically, of the \$650,000 that has been awarded to the City for intra-criminal justice system technology improvements:

- \$546,000 has been allocated to the San Francisco Department of Technology to purchase information technology equipment that will support critical JUSTIS information technology infrastructure expansion efforts; and,
- \$104,000 has been allocated to the San Francisco Adult Probation Department to purchase COMPAS from Northpointe, a State-supported comprehensive risk and needs assessment tool that will include the JUSTIS interface and facilitate decision making within the Adult Probation Department.

## SPECIAL CONDITIONS REVIEWED AND CONSIDERED

**Special Condition No. 8:** To avoid duplicating existing networks or IT systems in any initiatives funded by BJA for law enforcement information sharing systems which involve interstate connectivity between jurisdictions, such systems shall employ, to the extent possible, existing networks as the communication backbone to achieve interstate connectivity, unless the grantee can demonstrate to the satisfaction of BJA that this requirement would not be cost effective or would impair the functionality of an existing or proposed IT system.

**Special Condition No. 10:** The recipient agrees that any information technology system funded or supported by OJP will comply with 28 C.F.R. Part 23, Criminal Intelligence Systems Operating Policies, if OJP determines this regulation to be applicable. Should OJP determine 28 C.F.R. Part 23 to be applicable, OJP may, at its discretion, perform audits of the system, as per the regulation. Should any violation of 28 C.F.R. Part 23 occur, the recipient may be fined as per 42 U.S. C. 3789g(c)-(d). Recipient may not satisfy such a fine with federal funds.

**Special Condition No. 12:** The recipient agrees to ensure that the State Information Technology Point of Contact receives written notification regarding any information technology project funded by this grant during the obligation and expenditure period. This is to facilitate communication among local and state governmental entities regarding various information technology projects being conducted with these grant funds. In addition, the recipient agrees to maintain an administrative file documenting the meeting of this requirement.

California Department of Justice  
Primary Contact: William Stobie  
4949 Broadway, D-214  
Sacramento, California 95820  
(916) 227-3043  
[william.stobie@doj.ca.gov](mailto:william.stobie@doj.ca.gov)

## DETERMINATION OF APPLICABILITY

The table below details the applicability of the aforementioned special conditions to each information technology project proposed to be funded by Recovery Act JAG funds. Each determination was made after careful review and consideration by designated information technology staff within the Departments of Technology and Adult Probation, in consultation with other appropriate technical and supervisory staff. By confirming the applicability of a special condition, the department also agrees to comply with the requirements of that condition, as it pertains to their respective information technology project.



|                      | JUSTIS<br>Equipment |    | COMPAS<br>Software |    |
|----------------------|---------------------|----|--------------------|----|
|                      | Deemed Applicable?  |    |                    |    |
|                      | Yes                 | No | Yes                | No |
| Special<br>Condition | Yes                 | No | Yes                | No |
| 8                    |                     | X  |                    | X  |
| 10                   | X                   |    | X                  |    |
| 12                   | X                   |    | X                  |    |

### CERTIFICATION OF REVIEW, AUTHORITY AND COMPLIANCE

By signing below, the Designated IT Personnel certifies and the Department Head confirms that the individual: (1) has reviewed and understands the aforementioned special conditions pertaining to information technology projects funded by Recovery Act JAG funds; (2) is the most appropriate person within the department to determine the applicability of such special conditions to the departmental information technology project proposed to be funded by Recovery Act JAG funds; and, (3) agrees to ensure departmental compliance with each special condition deemed applicable throughout the duration of the grant award.

#### DEPARTMENT OF TECHNOLOGY

#### ADULT PROBATION DEPARTMENT

James J. Lubb, CISSP 11-3-2010  
Signature of Designated IT Personnel Date

[Signature] 11-3-10  
Signature of Department Head Date

[Signature] 11/1/2010  
Signature of Designated IT Personnel Date

[Signature] 11/1/2010  
Signature of Department Head Date

#### DEPARTMENT OF CHILDREN, YOUTH & THEIR FAMILIES

#### MAYOR'S OFFICE

[Signature] 10/22/10  
Signature of Department Head Date

[Signature] 11/16/2010  
Signature of Mayor's Policy Advisor Date

CITY AND COUNTY OF SAN FRANCISCO  
OFFICE OF CONTRACT ADMINISTRATION

COPY

ASSIGNMENT AND ASSUMPTION AGREEMENT

THIS ASSIGNMENT (this "Assignment") is made as of January 23, 2012, in San Francisco, California, by and between **Northpointe Institute for Public Management, Inc.** ("Assignor") and **Northpointe, Inc.** ("Assignee").

RECITALS

WHEREAS, Assignor is a party to the Agreement (as defined below); and

WHEREAS, Assignor desires to assign the Agreement, and Assignee desires to assume the Agreement, each on the terms and conditions set forth herein;

NOW, THEREFORE, in consideration of the promises and the mutual covenants contained in this Assignment, and for other good and valuable consideration, the receipt and adequacy of which are hereby acknowledged, Assignor and Assignee agree as follows:

1. **Definitions.** The following definitions shall apply to this Assignment:

(a) **Agreement.** The term "Agreement" shall mean the Agreement dated the 7<sup>th</sup> day of March 2011 between Assignor and City and County of San Francisco, a municipal corporation ("City").

(b) **Effective Date.** "Effective Date" shall mean May 4, 2011.

(c) **Other Terms.** Terms used and not defined in this Assignment shall have the meanings assigned to such terms in the Agreement.

2. **Assignment.** Assignor hereby assigns, transfers and conveys to Assignee all of Assignor's right, title and interest in and to the Agreement and all of Assignor's duties and obligations thereunder, to the extent arising on or after the Effective Date.

3. **Assumption.** Assignee hereby accepts the assignment transfer and conveyance set forth in Section 2 and agrees to perform all of Assignor's duties and obligations under the Agreement, to the extent arising on or after the Effective Date.

4. **Left Blank by Agreement of the Parties.**

5. **Governing Law.** This Assignment shall be governed by the laws of the State of California, without regard to its conflict of laws principles.

6. **Headings.** All section headings and captions contained in this Assignment are for reference only and shall not be considered in construing this Assignment.

7. **Entire Agreement.** This Assignment sets forth the entire agreement between Assignor and Assignee relating to the Agreement and supersedes all other oral or written provisions.

8. **Further Assurances.** From and after the date of this Assignment, Assignor and Assignee agree to do such things, perform such acts, and make, execute, acknowledge and deliver such documents as may be reasonably necessary or proper and usual to complete the conveyance contemplated by this Assignment or as may be required by City.

9. **Severability.** Should the application of any provision of this Assignment to any particular facts or circumstances be found by a court of competent jurisdiction to be invalid or unenforceable, then (a) the validity of other provisions of this Assignment shall not be affected or impaired thereby and (b) such provision shall be enforced to the maximum extent possible so as to effect the intent of Assignor, Assignee and City.

10. **Successors; Third-Party Beneficiaries.** Subject to the terms of the Agreement, this Assignment shall be binding upon, and inure to the benefit of, the parties hereto and their successors and assigns. Except as set forth in Section 12, nothing in this Assignment, whether express or implied, shall be construed to give any person or entity (other than City and the parties hereto and their respective successors and assigns) any legal or equitable right, remedy or claim under or in respect of this Assignment or any covenants, conditions or provisions contained herein.

11. **Notices.** All notices, consents, directions, approvals, instructions, requests and other communications regarding this Assignment or the Agreement shall be in writing, shall be addressed to the person and address set forth below and shall be (a) deposited in the U.S. mail, first class, certified with return receipt requested and with appropriate postage, (b) hand delivered or (c) sent via facsimile (if a facsimile number is provided below). All communications sent in accordance with this Section shall become effective on the date of receipt. From time to time Assignor, Assignee or City may designate a new address for purposes of this Section by notice to the other signatories to this Assignment.

**If to Assignor:** Brian Mattson  
Northpointe Institute for Public Management, Inc.  
112 N. Rubey Dr., Suite 135  
Golden, CO 80403

**If to Assignee:** Northpointe, Inc.  
Judy Kimminau  
112 N. Rubey Dr. #135  
Golden, CO 80403  
Fax: (303) 216-9459  
E-mail: Judy.kimminau@northpointeinc.com

**If to City:** Ms. Wendy S. Still  
Chief Adult Probation Officer  
San Francisco Adult Probation Department  
880 Bryant Street, Room 200  
San Francisco, CA 94103  
Fax: (415) 553-1717;  
E-mail: wendy.still@sfgov.org

12. **Consent of City; No Release of Assignor; Waivers.** Each of Assignor and Assignee acknowledges that the prior written consent of City to this Assignment is required under the

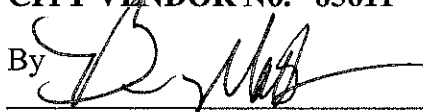
terms of the Agreement. City shall be a third party beneficiary of this Assignment (other than Section 4) and shall have the right to enforce this Assignment. Neither this Assignment nor the consent of City set forth below shall release Assignor in whole or in part from any of its obligations or duties under the Agreement if Assignee fails to perform or observe any such obligation or duty. Assignor has entered into this Assignment and obtained such consent of City based solely upon Assignor's independent investigation of Assignee's financial condition and ability to perform under the Agreement, and Assignor assumes full responsibility for obtaining any further information with respect to Assignee or the conduct of its business after the date of this Assignment. Assignor waives any right to require City to (a) proceed against any person or entity including Assignee, (b) proceed against or exhaust any security now or hereafter held in connection with the Agreement, or (c) pursue any other remedy in City's power. Assignor waives any defense arising by reason of any disability or other defense of Assignee or any other person, or by reason of the cessation from any cause whatsoever of the liability of Assignee or any other person. Assignor shall not have and hereby waives any right of subrogation to any of the rights of City against Assignee or any other person and Assignor waives any right to enforce any remedy of Assignor against Assignee (including, without limitation, Section 4(b)) or against any other person unless and until all obligations to City under the Agreement and this Assignment have been paid and satisfied in full. Assignor waives any benefit of any right to participate in any collateral or security whatsoever now or hereafter held by City with respect to the obligations under the Agreement. Assignor authorizes City, without notice or demand and without affecting Assignor's liability hereunder or under the Agreement to: (i) renew, modify or extend the time for performance of any obligation under the Agreement; (ii) take and hold security for the payment of any obligation under the Agreement and exchange, enforce, waive and release such security; and (iii) release or consent to an assignment by Assignee of all or any part of the Agreement.

IN WITNESS WHEREOF, Assignor and Assignee have each duly executed this Assignment as of the date first referenced above.

ASSIGNOR

Northpointe Institute for Public  
Management, Inc.  
CITY VENDOR No. 83611

By

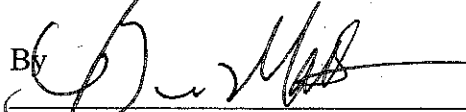


B. Mattson, GM  
Name and Title

ASSIGNEE

Northpointe, Inc.  
CITY VENDOR No. 85589

By

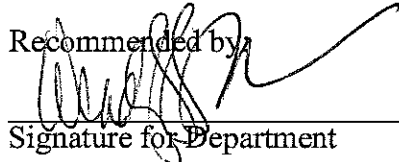


B. Mattson, GM  
Name and Title

Subject to Section 12 of this Assignment, City hereby consents to the assignment and assumption described in Sections 2 and 3 of this Assignment.

CITY

Recommended by



Signature for Department

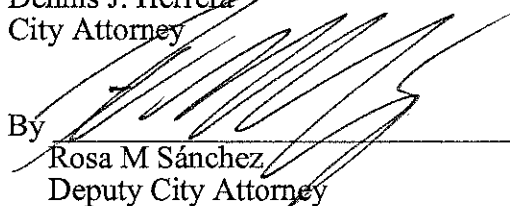
Wendy S. Still  
Printed Name

Chief Adult Probation Officer  
San Francisco Adult Probation Department  
Title and Department

Approved as to Form:

Dennis J. Herrera  
City Attorney

By



Rosa M. Sanchez  
Deputy City Attorney

Approved:



Naomi Kelly  
Director of Office of Contract Administration/ Purchaser

**CERTIFICATE OF INSURANCE**

SEE ENDORSEMENT # 142

**NAMED INSURED**

CONSTELLATION SOFTWARE INC. and  
NORTHPOINTE INC.  
1764 FOREST RIDGE DRIVE  
TRAVERSE CITY, MI 49686

This certificate is issued as a matter of information only and confers no rights upon the certificate holder. This certificate does not amend, extend or alter the coverage afforded by the policies below.

**INSURANCE COMPANIES AFFORDING COVERAGE**

COMPANY  
A Zurich Insurance Company Ltd. (AM Best rating A)

COMPANY  
B Liberty Mutual Fire Insurance Company (AM Best rating A)

COMPANY  
C

COMPANY  
D

COMPANY  
E Zurich American Insurance Company

**CERTIFICATE HOLDER**

SAN FRANCISCO ADULT PROBATION  
880 BRYANT ST., ROOM 200  
SAN FRANCISCO, CA 94103

**COVERAGES**

This is to certify that the policies of insurance listed below have been issued to the Insured named above for the policy period indicated, notwithstanding any requirement, term or condition of any contract or other document with respect to which this certificate may be issued or may pertain. The insurance afforded by the policies described herein is subject to all the terms, exclusions and conditions of such policies.  
**LIMITS ARE IN U.S. DOLLARS UNLESS INDICATED OTHERWISE.**

LIMITS SHOWN MAY HAVE BEEN REDUCED BY PAID CLAIMS.

| TYPE OF INSURANCE  | CO LTR | POLICY NUMBER  | POLICY EFFECTIVE DATE (YYYY/MM/DD) | POLICY EXPIRATION DATE (YYYY/MM/DD) | LIMITS OF LIABILITY |   |
|--|--------|----------------|------------------------------------|-------------------------------------|---------------------|---|
| <b>COMMERCIAL GENERAL LIABILITY</b><br>OCCURRENCE BASIS<br>INCLUDING:<br>PRODUCTS AND COMPLETED OPERATIONS<br>CROSS LIABILITY / SEVERABILITY OF INTERESTS / BLANKET CONTRACTUAL LIABILITY<br>PERSONAL INJURY \$1,000,000 LIMIT, ADVERTISING LIABILITY \$1,000,000 LIMIT<br>TENANT'S LEGAL LIABILITY \$1,000,000 LIMIT, MEDICAL EXPENSES \$25,000 LIMIT<br>WAIVER OF SUBROGATION WHERE REQUIRED BY WRITTEN CONTRACT | E      | GLO8249874     | 2011/09/27                         | 2012/09/27                          | \$ 1,000,000        | EACH OCCURRENCE   |
|  |        |                |                                    |                                     | \$ 1,000,000        | GENERAL AGGREGATE   |
|  |        |                |                                    |                                     | \$ 1,000,000        | PRODUCTS - COMPLETED OPERATIONS AGGREGATE                                 |
|  |        |                |                                    |                                     |                     |   |
| <b>ADDITIONAL INSURED:</b> THE CITY AND COUNTY OF SAN FRANCISCO, ITS OFFICERS, AGENTS AND EMPLOYEES, AND SAN FRANCISCO ADULT PROBATION, ITS OFFICERS, AGENTS AND EMPLOYEES, but only with respect to liability arising out of the operations of the Named insured.   |        |                |                                    |                                     |                     |   |
| Such insurance as is afforded by the Commercial General Liability coverage on this policy will be considered as primary insurance, not contributory and not excess of any other insurance.   |        |                |                                    |                                     |                     |   |
| <b>NON-OWNED &amp; HIRED AUTOMOBILE LIABILITY</b>  | A      | 8839016        | 2011/09/27                         | 2012/09/27                          | \$1,000,000         | EACH OCCURRENCE   |
| <b>ADDITIONAL INSURED:</b> THE CITY AND COUNTY OF SAN FRANCISCO, ITS OFFICERS, AGENTS AND EMPLOYEES, AND SAN FRANCISCO ADULT PROBATION, ITS OFFICERS, AGENTS AND EMPLOYEES, but only with respect to liability arising out of the operations of the Named insured.   |        |                |                                    |                                     |                     |   |
| <b>UMBRELLA LIABILITY</b>  | A      | 8838706        | 2011/09/27                         | 2012/09/27                          | \$14,000,000        | PER OCCURRENCE & IN THE AGGREGATE   |
| NOT APPLICABLE   |        |                |                                    |                                     |                     |   |
|  |        |                |                                    |                                     |                     |   |
| <b>PROFESSIONAL LIABILITY AND TECHNOLOGY ERRORS &amp; OMISSIONS</b><br>CLAIMS MADE BASIS<br>\$500,000 DEDUCTIBLE   | E      | IPR0435933200  | 2011/09/27                         | 2012/09/27                          | \$ 5,000,000        | PER CLAIM & IN THE AGGREGATE  |
| NOT APPLICABLE   |        |                |                                    |                                     |                     |   |
| NOT APPLICABLE   | E      | MCP4476069     |                                    |                                     |                     |   |
|  |        |                |                                    |                                     |                     |   |
| NOT APPLICABLE   |        |                |                                    |                                     |                     |   |
| <b>WORKERS COMPENSATION &amp; EMPLOYER'S LIABILITY</b><br>WC - STATUTORY LIMITS<br>INCLUDING WAIVER OF SUBROGATION WHERE REQUIRED BY WRITTEN CONTRACT  | B      | WC2-B71-170802 | 2011/09/27                         | 2012/09/27                          | \$ 1,000,000        | EL:<br>-EACH ACCIDENT<br>-EACH DISEASE/ EMPLOYEE<br>-DISEASE POLICY LIMIT |

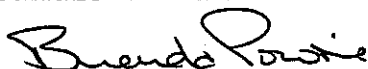
**DESCRIPTION OF OPERATIONS / LOCATIONS / SPECIAL PROVISIONS:****BROKER**

The CG&B Group Inc.  
120 South Town Centre Blvd.  
Markham, ON L6G 1C3

**CANCELLATION**

Should any of the above described policies be cancelled before the expiration date thereof, the issuing company will endeavour to mail 30 days written notice to the certificate holder named above. Failure to mail such notice shall impose no obligation or liability of any kind upon the company, its agents or representatives

SIGNATURE OF AUTHORIZED REPRESENTATIVE



PRINT NAME

BRENDA POWRIE

DATE (YYYY/MM/DD)

2012/01/24

**City and County of San Francisco  
Office of Contract Administration  
Purchasing Division**

**First Amendment**

THIS AMENDMENT (this "Amendment") is made as of **August 30, 2012**, in San Francisco, California, by and between **Northpointe, Inc.** ("Contractor"), and the City and County of San Francisco, a municipal corporation ("City"), acting by and through its Director of the Office of Contract Administration.

**RECITALS**

WHEREAS, City and Contractor have entered into the Agreement (as defined below);  
and

WHEREAS, City and Contractor desire to modify the Agreement on the terms and conditions set forth herein to update standard contractual clauses;

NOW, THEREFORE, Contractor and the City agree as follows:

**1. Definitions.** The following definitions shall apply to this Amendment:

**1a. Agreement.** The term "Agreement" shall mean the Agreement dated **March 7, 2011** between Contractor and City, as amended by the **Assignment and Assumption Agreement** dated **January 23, 2012**.

**1b. Other Terms.** Terms used and not defined in this Amendment shall have the meanings assigned to such terms in the Agreement.

**2. Modifications to the Agreement.** The Agreement is hereby modified as follows:

**2a. Appendix A, "Statement of Work," Section 8.1, "Milestones with Payment Schedules," Milestones # 0 – 2,** of the Agreement currently reads as follows:

**8.1 MILESTONES WITH PAYMENT SCHEDULE**

| Milestone # | Estimated Duration (Business Days) | Milestones   | Payment Amount |
|-------------|------------------------------------|--|----------------|
| 0           | 3 days                             | On signing of the Agreement, Contractor's design engineer(s) will be scheduled to come to City Site for at least 3 Business Days to collect and finalize the requirements for Milestone #1 and Milestone #2. |                |

|   |   |   |           |
|---|---|---|-----------|
| 1 | Within 30 Days following the Contractor's requirements visit  | Contractor completes and delivers first Iteration of written detailed functional requirements, and System architecture to the City Project Manager, completing milestone #1                   |           |
| 2 | City Approves and Accepts First Iteration Requirements Spec within 20 days following its delivery by Contractor | City reviews mutually derived Functional Requirements in Milestone #1. Upon the City approval of first Iteration requirements (milestone sign-off) the payment will be authorized by the City | \$158,600 |

Such section is hereby amended in its entirety to read as follows:

#### 8.1 MILESTONES WITH PAYMENT SCHEDULE

| Milestone # | Estimated Duration (Business Days)  | Milestones   | Payment Amount |
|-------------|---|--|----------------|
| 0           | 3 days  | On signing of the Agreement, Contractor's design engineer(s) will be scheduled to come to City Site for at least 3 Business Days to collect and finalize the requirements for Milestone #1 and Milestone #2.                 |                |
| 1           | Within 30 Days following the Contractor's requirements visit  | Contractor completes and delivers first Iteration of written detailed functional requirements, and System architecture to the City Project Manager, completing milestone #1  |                |
| 2a          |   | Contractor delivers mutually derived Functional Requirements in Milestone #1 as they become available for City's use and continued testing prior to City's approval of all required Functional Requirements in Milestone 2b. | \$53,500       |
| 2b          | City Approves and Accepts First Iteration Requirements Spec within 20 days following its delivery by Contractor | City reviews mutually derived Functional Requirements in Milestone #1. Upon the City approval of first Iteration requirements (milestone sign-off) the payment will be authorized by the City                                | \$105,100      |



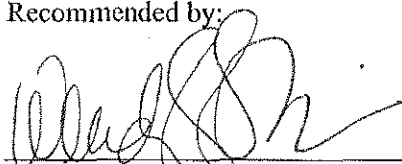
**3. Effective Date.** Each of the modifications set forth in Section 2 shall be effective on and after the date of this Amendment.

**4. Legal Effect.** Except as expressly modified by this Amendment, all of the terms and conditions of the Agreement shall remain unchanged and in full force and effect.

IN WITNESS WHEREOF, Contractor and City have executed this Amendment as of the date first referenced above.

**CITY**

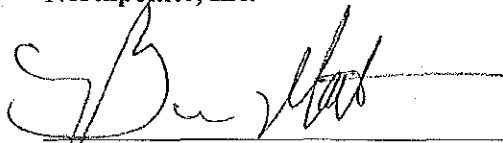
Recommended by:



Wendy S. Still  
Chief Adult Probation Officer  
San Francisco Adult Probation Department

**CONTRACTOR**

Northpointe, Inc.

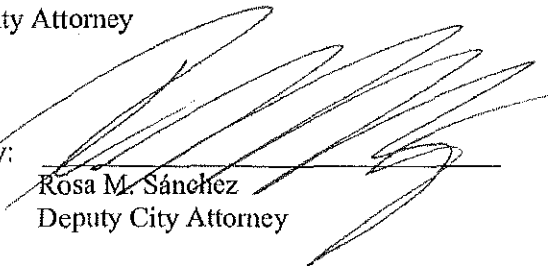


Brian Mattson  
General Manager  
112 N. Rubey Dr., Suite 135  
Golden, CO 80403

City vendor number: 85589


Approved as to Form:

Dennis J. Herrera  
City Attorney

By: 

Rosa M. Sánchez  
Deputy City Attorney

Approved:



Jaci Fong  
Director of the Office of Contract  
Administration, and Purchaser

**CERTIFICATE OF INSURANCE**

SEE ENDORSEMENT # 142

**NAMED INSURED**

CONSTELLATION SOFTWARE INC. and  
NORTHPOINTE INC.  
1764 FOREST RIDGE DRIVE  
TRAVERSE CITY, MI 49686

This certificate is issued as a matter of information only and confers no rights upon the certificate holder. This certificate does not amend, extend or alter the coverage afforded by the policies below.

**INSURANCE COMPANIES AFFORDING COVERAGE****COMPANY****A** Zurich Insurance Company Ltd. (AM Best rating A)**COMPANY****B** Liberty Mutual Fire Insurance Company (AM Best rating A)**COMPANY****C****COMPANY****D****COMPANY****E** Zurich American Insurance Company**CERTIFICATE HOLDER**

SAN FRANCISCO ADULT PROBATION  
880 BRYANT ST., ROOM 200  
SAN FRANCISCO, CA 94103

**COVERAGES**

This is to certify that the policies of insurance listed below have been issued to the insured named above for the policy period indicated, notwithstanding any requirement, term or condition of any contract or other document with respect to which this certificate may be issued or may pertain. The insurance afforded by the policies described herein is subject to all the terms, exclusions and conditions of such policies. LIMITS ARE IN U.S. DOLLARS UNLESS INDICATED OTHERWISE.

LIMITS SHOWN MAY HAVE BEEN REDUCED BY PAID CLAIMS.

| TYPE OF INSURANCE  | CO LTR   | POLICY NUMBER | POLICY EFFECTIVE DATE (YYYY/MM/DD) | POLICY EXPIRATION DATE (YYYY/MM/DD) | LIMITS OF LIABILITY |   |
|--|----------|---------------|------------------------------------|-------------------------------------|---------------------|---|
| <b>COMMERCIAL GENERAL LIABILITY</b><br>OCCURRENCE BASIS<br>INCLUDING:<br>PRODUCTS AND COMPLETED OPERATIONS<br>GROSS LIABILITY / SEVERABILITY OF INTERESTS / BLANKET CONTRACTUAL LIABILITY<br>PERSONAL INJURY \$1,000,000 LIMIT, ADVERTISING LIABILITY \$1,000,000 LIMIT<br>TENANT'S LEGAL LIABILITY \$1,000,000 LIMIT, MEDICAL EXPENSES \$25,000 LIMIT<br>WAIVER OF SUBROGATION WHERE REQUIRED BY WRITTEN CONTRACT | <b>E</b> | GLO8249874    | 2011/09/27                         | 2012/09/27                          | \$ 1,000,000        | EACH OCCURRENCE                           |
|  |          |               |                                    |                                     | \$ 1,000,000        | GENERAL AGGREGATE                         |
|  |          |               |                                    |                                     | \$ 1,000,000        | PRODUCTS - COMPLETED OPERATIONS AGGREGATE |
|  |          |               |                                    |                                     |                     |   |

**ADDITIONAL INSURED:** THE CITY AND COUNTY OF SAN FRANCISCO, ITS OFFICERS, AGENTS AND EMPLOYEES, AND SAN FRANCISCO ADULT PROBATION, ITS OFFICERS, AGENTS AND EMPLOYEES, but only with respect to liability arising out of the operations of the Named Insured.

Such insurance as is afforded by the Commercial General Liability coverage on this policy will be considered as primary insurance, not contributory and not excess of any other insurance.

|   |          |         |            |            |             |                 |
|---|----------|---------|------------|------------|-------------|-----------------|
| <b>NON-OWNED &amp; HIRED AUTOMOBILE LIABILITY</b> | <b>A</b> | 8839016 | 2011/09/27 | 2012/09/27 | \$1,000,000 | EACH OCCURRENCE |
|---|----------|---------|------------|------------|-------------|-----------------|

**ADDITIONAL INSURED:** THE CITY AND COUNTY OF SAN FRANCISCO, ITS OFFICERS, AGENTS AND EMPLOYEES, AND SAN FRANCISCO ADULT PROBATION, ITS OFFICERS, AGENTS AND EMPLOYEES, but only with respect to liability arising out of the operations of the Named Insured.

|                           |          |         |            |            |              |                                   |
|---------------------------|----------|---------|------------|------------|--------------|-----------------------------------|
| <b>UMBRELLA LIABILITY</b> | <b>A</b> | 8838706 | 2011/09/27 | 2012/09/27 | \$14,000,000 | PER OCCURRENCE & IN THE AGGREGATE |
| <b>NOT APPLICABLE</b>     |          |         |            |            |              |                                   |

|  |          |               |            |            |              |                              |
|--|----------|---------------|------------|------------|--------------|------------------------------|
| <b>PROFESSIONAL LIABILITY AND TECHNOLOGY ERRORS &amp; OMISSIONS</b><br>CLAIMS MADE BASIS<br>\$500,000 DEDUCTIBLE | <b>E</b> | IPR0435933200 | 2011/09/27 | 2012/09/27 | \$ 5,000,000 | PER CLAIM & IN THE AGGREGATE |
|--|----------|---------------|------------|------------|--------------|------------------------------|

|                       |  |  |  |  |  |  |
|-----------------------|--|--|--|--|--|--|
| <b>NOT APPLICABLE</b> |  |  |  |  |  |  |
|-----------------------|--|--|--|--|--|--|

|                       |          |            |  |  |  |  |
|-----------------------|----------|------------|--|--|--|--|
| <b>NOT APPLICABLE</b> | <b>E</b> | MCP4476069 |  |  |  |  |
|-----------------------|----------|------------|--|--|--|--|

|                       |  |  |  |  |  |  |
|-----------------------|--|--|--|--|--|--|
| <b>NOT APPLICABLE</b> |  |  |  |  |  |  |
|-----------------------|--|--|--|--|--|--|

|   |          |                |            |            |              |   |
|---|----------|----------------|------------|------------|--------------|---|
| <b>WORKERS COMPENSATION &amp; EMPLOYER'S LIABILITY</b><br>WC - STATUTORY LIMITS<br>INCLUDING WAIVER OF SUBROGATION WHERE REQUIRED BY WRITTEN CONTRACT | <b>B</b> | WC2-B71-170802 | 2011/09/27 | 2012/09/27 | \$ 1,000,000 | EL:<br>-EACH ACCIDENT<br>-EACH DISEASE/ EMPLOYEE<br>-DISEASE POLICY LIMIT |
|---|----------|----------------|------------|------------|--------------|---|

**DESCRIPTION OF OPERATIONS / LOCATIONS / SPECIAL PROVISIONS:****BROKER**

The CG&B Group Inc.  
120 South Town Centre Blvd.  
Markham, ON L6G 1C3

**CANCELLATION**

Should any of the above described policies be cancelled before the expiration date thereof, the issuing company will endeavour to mail 30 days written notice to the certificate holder named above. Failure to mail such notice shall impose no obligation or liability of any kind upon the company, its agents or representatives

SIGNATURE OF AUTHORIZED REPRESENTATIVE



PRINT NAME

BRENDA POWRIE

DATE (YYYY/MM/DD)

2012/01/24

**CITY AND COUNTY OF SAN FRANCISCO  
OFFICE OF CONTRACT ADMINISTRATION**

**ASSIGNMENT AND ASSUMPTION AGREEMENT**

THIS ASSIGNMENT (this "Assignment") is made as of January 23, 2012, in San Francisco, California, by and between **Northpointe Institute for Public Management, Inc.** ("Assignor") and **Northpointe, Inc.** ("Assignee").

**RECITALS**

WHEREAS, Assignor is a party to the Agreement (as defined below); and

WHEREAS, Assignor desires to assign the Agreement, and Assignee desires to assume the Agreement, each on the terms and conditions set forth herein;

NOW, THEREFORE, in consideration of the promises and the mutual covenants contained in this Assignment, and for other good and valuable consideration, the receipt and adequacy of which are hereby acknowledged, Assignor and Assignee agree as follows:

1. **Definitions.** The following definitions shall apply to this Assignment:
  - (a) **Agreement.** The term "Agreement" shall mean the Agreement dated the 7<sup>th</sup> day of March 2011 between Assignor and City and County of San Francisco, a municipal corporation ("City").
  - (b) **Effective Date.** "Effective Date" shall mean May 4, 2011.
  - (c) **Other Terms.** Terms used and not defined in this Assignment shall have the meanings assigned to such terms in the Agreement.
2. **Assignment.** Assignor hereby assigns; transfers and conveys to Assignee all of Assignor's right, title and interest in and to the Agreement and all of Assignor's duties and obligations thereunder, to the extent arising on or after the Effective Date.
3. **Assumption.** Assignee hereby accepts the assignment transfer and conveyance set forth in Section 2 and agrees to perform all of Assignor's duties and obligations under the Agreement, to the extent arising on or after the Effective Date.
4. **Left Blank by Agreement of the Parties.**
5. **Governing Law.** This Assignment shall be governed by the laws of the State of California, without regard to its conflict of laws principles.
6. **Headings.** All section headings and captions contained in this Assignment are for reference only and shall not be considered in construing this Assignment.
7. **Entire Agreement.** This Assignment sets forth the entire agreement between Assignor and Assignee relating to the Agreement and supersedes all other oral or written provisions.

City and County of San Francisco  
Office of Contract Administration  
Purchasing Division

COPY

First Amendment

THIS AMENDMENT (this "Amendment") is made as of **August 30, 2012**, in San Francisco, California, by and between **Northpointe, Inc.** ("Contractor"), and the City and County of San Francisco, a municipal corporation ("City"), acting by and through its Director of the Office of Contract Administration.

RECITALS

WHEREAS, City and Contractor have entered into the Agreement (as defined below);  
and

WHEREAS, City and Contractor desire to modify the Agreement on the terms and conditions set forth herein to update standard contractual clauses;

NOW, THEREFORE, Contractor and the City agree as follows:

**1. Definitions.** The following definitions shall apply to this Amendment:

**1a. Agreement.** The term "Agreement" shall mean the Agreement dated **March 7, 2011** between Contractor and City, as amended by the **Assignment and Assumption Agreement** dated **January 23, 2012**.

**1b. Other Terms.** Terms used and not defined in this Amendment shall have the meanings assigned to such terms in the Agreement.

**2. Modifications to the Agreement.** The Agreement is hereby modified as follows:

**2a. Appendix A, "Statement of Work," Section 8.1, "Milestones with Payment Schedules," Milestones # 0 – 2,** of the Agreement currently reads as follows:

**8.1 MILESTONES WITH PAYMENT SCHEDULE**

| Milestone # | Estimated Duration (Business Days) | Milestones   | Payment Amount |
|-------------|------------------------------------|--|----------------|
| 0           | 3 days                             | On signing of the Agreement, Contractor's design engineer(s) will be scheduled to come to City Site for at least 3 Business Days to collect and finalize the requirements for Milestone #1 and Milestone #2. |                |

|   |   |   |           |
|---|---|---|-----------|
| 1 | Within 30 Days following the Contractor's requirements visit  | Contractor completes and delivers first Iteration of written detailed functional requirements, and System architecture to the City Project Manager, completing milestone #1                   |           |
| 2 | City Approves and Accepts First Iteration Requirements Spec within 20 days following its delivery by Contractor | City reviews mutually derived Functional Requirements in Milestone #1. Upon the City approval of first Iteration requirements (milestone sign-off) the payment will be authorized by the City | \$158,600 |

**Such section is hereby amended in its entirety to read as follows:**

#### **8.1 MILESTONES WITH PAYMENT SCHEDULE**

| Milestone # | Estimated Duration (Business Days)  | Milestones   | Payment Amount |
|-------------|---|--|----------------|
| 0           | 3 days  | On signing of the Agreement, Contractor's design engineer(s) will be scheduled to come to City Site for at least 3 Business Days to collect and finalize the requirements for Milestone #1 and Milestone #2.                 |                |
| 1           | Within 30 Days following the Contractor's requirements visit  | Contractor completes and delivers first Iteration of written detailed functional requirements, and System architecture to the City Project Manager, completing milestone #1  |                |
| 2a          |   | Contractor delivers mutually derived Functional Requirements in Milestone #1 as they become available for City's use and continued testing prior to City's approval of all required Functional Requirements in Milestone 2b. | \$53,500       |
| 2b          | City Approves and Accepts First Iteration Requirements Spec within 20 days following its delivery by Contractor | City reviews mutually derived Functional Requirements in Milestone #1. Upon the City approval of first Iteration requirements (milestone sign-off) the payment will be authorized by the City                                | \$105,100      |

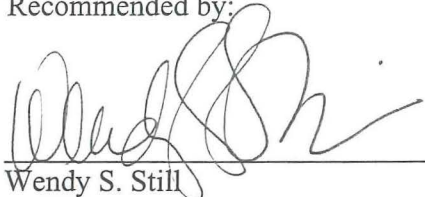
**3. Effective Date.** Each of the modifications set forth in Section 2 shall be effective on and after the date of this Amendment.

**4. Legal Effect.** Except as expressly modified by this Amendment, all of the terms and conditions of the Agreement shall remain unchanged and in full force and effect.

IN WITNESS WHEREOF, Contractor and City have executed this Amendment as of the date first referenced above.

**CITY**

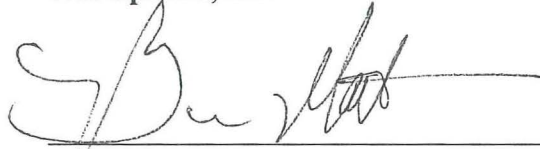
Recommended by:



Wendy S. Still  
Chief Adult Probation Officer  
San Francisco Adult Probation Department

**CONTRACTOR**

**Northpointe, Inc.**

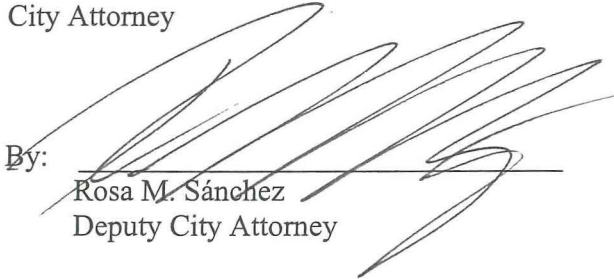


Brian Mattson  
General Manager  
112 N. Rubey Dr., Suite 135  
Golden, CO 80403

City vendor number: **85589**

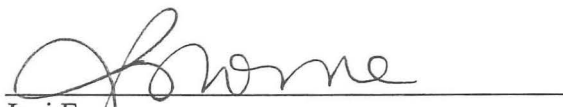
Approved as to Form:

Dennis J. Herrera  
City Attorney

By: 

Rosa M. Sánchez  
Deputy City Attorney

Approved:

  
for Jaci Fong  
Director of the Office of Contract  
Administration, and Purchaser



**City and County of San Francisco  
Office of Contract Administration  
Purchasing Division**

**Second Amendment**

THIS AMENDMENT (this "Amendment") is made as of **January 14, 2013**, in San Francisco, California, by and between **Northpointe, Inc.** ("Contractor"), and the City and County of San Francisco, a municipal corporation ("City"), acting by and through its Director of the Office of Contract Administration.

**RECITALS**

WHEREAS, City and Contractor have entered into the Agreement (as defined below);  
and

WHEREAS, City and Contractor desire to modify the Agreement on the terms and conditions set forth herein to update standard contractual clauses;

NOW, THEREFORE, Contractor and the City agree as follows:

**1. Definitions.** The following definitions shall apply to this Amendment:

**1a. Agreement.** The term "Agreement" shall mean the Agreement dated **March 7, 2011** between Contractor and City, as amended by the **First Amendment** dated **August 30, 2012**, and the **Assignment and Assumption Agreement** dated **January 23, 2012**.

**1b. Other Terms.** Terms used and not defined in this Amendment shall have the meanings assigned to such terms in the Agreement.

**2. Modifications to the Agreement.** The Agreement is hereby modified as follows:

**2a. Section 38.** Section 38, Subcontracting, of the Agreement currently reads as follows:

**38. Subcontracting.** Contractor is prohibited from subcontracting this Agreement or any part of it unless such subcontracting is first approved by City in writing. Neither party shall, on the basis of this Agreement, contract on behalf of or in the name of the other party. An agreement made in violation of this provision shall confer no rights on any party and shall be null and void.

**Such section is hereby amended in its entirety to read as follows:**

**38. Subcontracting.** Contractor is prohibited from subcontracting this Agreement or any part of it unless such subcontracting is first approved by City in writing. Neither party shall, on the basis of this Agreement, contract on behalf of or in the name of the other party. An agreement made in violation of this provision shall confer no rights on any party and shall be

null and void. City hereby approves the use by Contractor of **Homeland Justice Systems, Inc. ("Subcontractor")**, 11801 Piece Street, 2nd Floor, Riverside, CA 92505, as a Subcontractor in the performance of this Agreement. Contractor shall acquire, for the benefit of the City, any licenses and warranties needed from **Subcontractor** as warranted under **Section 6(b)** (Licensed Software; Warranties: Right to Grant License) of this Agreement. In the event City exercises the option stated in **Section 3(b)(2)** (Term of the Agreement; City Options) to purchase a perpetual license from Contractor, Contractor shall ensure the same term perpetual license be acquired from Subcontractor, for the benefit of the City, and pass the license and warranties to City at the expiration or termination of this Agreement. Contractor acknowledges its duty to impose specified requirements in all subcontracts constitutes a material element of this Agreement. Contractor shall remain fully responsible for the performance of its obligations under this Agreement, and shall be fully responsible for ensuring such Subcontractors' compliance with this Agreement. Furthermore, Contractor acknowledges its duty includes, but is not limited to, having all Subcontractor employees meet the requirements set forth in Appendix A, Section 5, Security.

**2b. Appendix A, "Statement of Work," Section 8.1, "Milestones with Payment Schedules," Milestones # 11, of the Agreement currently reads as follows:**

| Milestone # | Estimated Duration (Business Days)        | Milestones  | Payment Amount |
|-------------|---|---|----------------|
| 11.         | 90 Days after City approves milestone #10 | On satisfactory performance of the COMPAS Application and JUSTIS Interface System for a period of no fewer than 90 days following commencement of production operation of the Application by the City, and on approval and signoff of the Final V&V Report (milestone 11 sign-off) by the City the final payment will be authorized by the City and the Project formally Accepted and closed. | \$148,600      |

**Such section is hereby amended in its entirety to read as follows:**

| Milestone # | Estimated Duration (Business Days)        | Milestones   | Payment Amount |
|-------------|---|--|----------------|
| 11.         | 90 Days after City approves milestone #10 | On satisfactory performance of all components of the application specified in this agreement | \$116,600      |

|       |   |   |          |
|-------|---|---|----------|
|       |   | (excluding JUSTIS interface testing) for a period of no fewer than 90 days following commencement of production operation of the Application by the City, and on approval and signoff of the V&V Report (milestone 11. sign-off) by the City the payment will be authorized by the City.  |          |
| 11.a. | 90 Days after City approves milestone #11 | On satisfactory performance of the JUSTIS Interface System for a period of no fewer than 90 days following commencement of production operation of the Application by the City, and on approval and signoff of the Final V&V Report (milestone 11.a. sign-off) by the City the final payment will be authorized by the City and the Project formally Accepted and closed. | \$32,000 |

**3. Effective Date.** Each of the modifications set forth in Section 2 shall be effective on and after the date of this Amendment.

**4. Legal Effect.** Except as expressly modified by this Amendment, all of the terms and conditions of the Agreement shall remain unchanged and in full force and effect.

IN WITNESS WHEREOF, Contractor and City have executed this Amendment as of the date first referenced above.

**CITY**

Recommended by:



Wendy S. Still  
Chief Adult Probation Officer  
San Francisco Adult Probation Department

**CONTRACTOR**

Northpointe, Inc.

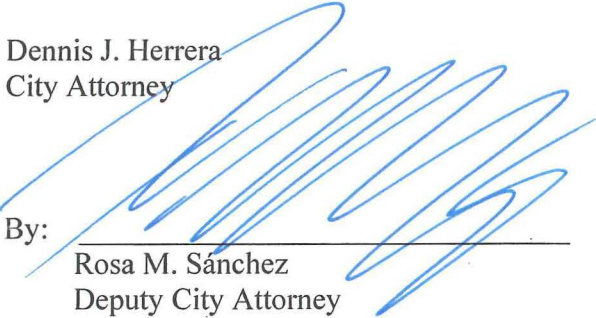


Brian Mattson  
General Manager  
112 N. Rubey Dr., Suite 135  
Golden, CO 80403

City vendor number: **85589**

Approved as to Form:

Dennis J. Herrera  
City Attorney



By:

Rosa M. Sánchez  
Deputy City Attorney

Approved:



Jaci Fong  
Director of the Office of Contract  
Administration, and Purchaser



**City and County of San Francisco  
Office of Contract Administration  
Purchasing Division**

**Third Amendment**

THIS AMENDMENT (this "Amendment") is made as of June 1, 2013 in San Francisco, California, by and between Northpointe, Inc. ("Contractor"), and the City and County of San Francisco, a municipal corporation ("City"), acting by and through its Director of the Office of Contract Administration.

**RECITALS**

WHEREAS, City and Contractor have entered into the Agreement (as defined below);  
and

WHEREAS, City and Contractor desire to modify the Agreement on the terms and conditions set forth herein to modify the scope of work and increase the contract amount;

WHEREAS, approval for this Amendment was obtained when the Civil Service Commission approved Contract number 4050/10-11 on June 17, 2013;

NOW, THEREFORE, Contractor and the City agree as follows:

**1. Definitions.** The following definitions shall apply to this Amendment:

**a. Agreement.** The term "Agreement" shall mean the Agreement dated March 7, 2011 between Contractor and City, as amended by the:

|  |                         |
|--|-------------------------|
| Assignment and Assumption Agreement,   | date January 23, 2012   |
| First amendment,   | dated August 30, 2012,  |
| First amendment modified milestones with payment schedule of Appendix A, and |                         |
| Second amendment,  | dated January 14, 2013, |
| Second amendment modified milestones with payment schedule of Appendix A and |                         |
| approved the use of Subcontractors, and                                      |                         |
| Third amendment,   | date June 1, 2013.      |

**b. Other Terms.** Terms used and not defined in this Amendment shall have the meanings assigned to such terms in the Agreement.

**2. Modifications to the Agreement.** The Agreement is hereby modified as follows:

**a. Section 19.** Section 19. Payment, of the Agreement currently reads as follows:

During the configuration/development period, the invoices shall be sent to the San Francisco Adult Probation Department upon approval of the milestones specified in Appendix A and subsequent annual billing for licensing fees after the 365 days Warranty Period as specified in Appendix A, *Statement of*

*Work* and Appendix B, *Calculation of Charges*. The City reserves the right to negotiate City and County wide Site License user fee. Compensation shall be due and payable within 45 days of the date of invoice. In no event shall the amount of this Agreement exceed six hundred seventy nine thousand three hundred dollars and no cents (\$679,300.00). The breakdown of costs associated with this Agreement is based on the milestones as specified in Appendix A *Statement of Work* and the annual maintenance and support fees as specified in Appendix B *Calculation of Charges*. No charges shall be incurred under this Agreement nor shall any payments become due to Contractor until Licensed Software and services required under this Agreement are received from Contractor and approved by the San Francisco Adult Probation Department as being in accordance with this Agreement.

In no event shall City be liable for interest or late charges for any late payments.

**Such section is hereby amended in its entirety to read as follows:**

During the configuration/development period, the invoices shall be sent to the San Francisco Adult Probation Department upon approval of the milestones specified in Appendix A and subsequent annual billing for licensing fees after the 365 days Warranty Period as specified in Appendix A, *Statement of Work* and Appendix B, *Calculation of Charges and Appendix B-1, Addendum to Calculation of Charges*. The City reserves the right to negotiate City and County wide Site License user fee. Compensation shall be due and payable within 45 days of the date of invoice. In no event shall the amount of this Agreement exceed seven hundred sixty-eight thousand nine hundred and fifty dollars and no cents (\$768,950.00). The breakdown of costs associated with this Agreement is based on the milestones as specified in Appendix A *Statement of Work* and the annual maintenance and support fees as specified in Appendix B *Calculation of Charges and Appendix B-1, Addendum to Calculation of Charges*. No charges shall be incurred under this Agreement nor shall any payments become due to Contractor until Licensed Software and services required under this Agreement are received from Contractor and approved by the San Francisco Adult Probation Department as being in accordance with this Agreement.

In no event shall City be liable for interest or late charges for any late payments.

**b. Appendix A.** Appendix A: Statement of Work is hereby amended to add the Contract Addendum-Third Amendment (set forth below), which includes additional training (section 2.7.1), a new deliverable milestone (section 8.1, milestone 12), and an additional time and cost estimate table (section 9.2.1) as follows:

**Contract Addendum – Third Amendment**

**Section 2.7 User and Administrator Training.** The following section is added by this Third Amendment to Section 2.7 User and Administrator Training:

**2.7.1 New Employee and Refresher Training**

Contractor shall provide 'New Employee' and 'Employee Refresher' trainings when requested by the City. Contractor shall prepare and schedule the trainers, prepare planning documents for the trainers to utilize during the training sessions, and prepare the content for each training session to meet the City's training requests. The City shall have the option to request the following training sessions:

- **COMPAS Risk/Needs Assessment Training**
  1. 'New Employee' Training is a minimum of 2 days training session (8 hours per day).
  2. 'Employee Refresher' Training is a minimum of 1 day training session (8 hours per day)
- **COMPAS Women's Risk/Needs (Gender Responsive) Assessment Training**



1. 'New Employee'/'Employee Refresher' Training is a minimum of 1 day training session (8 hours per day).
- o **COMPAS Secondary Assessment/Screening Trainings (various secondary assessment tools)**
  1. COMPAS Secondary Assessment/Screening trainings may range from 1.5 to 4 hours per session based on the number of assessment/screening trainings selected by the City. As a guideline, no more than 3 secondary assessment/screening trainings per a 1.5 hour session shall be scheduled.

**Training Assumptions:**

- o The COMPAS Assessment/Screening and COMPAS Women's (Gender Responsive) Trainings shall be conducted via classroom instruction with onsite trainer; the maximum participants per training session are 25 participants.
- o Secondary Assessment Training shall be conducted via WebEx Training and the maximum participants per training session are 25 participants.
- o Any exception to the number of participants per session requires mutual prior approval by City and Contractor.
- o The training programs shall be conducted in English.
- o All training materials shall be delivered electronically; no less than 2 business days prior to training session; no printing costs shall be associated with this training plan.
- o Onsite training shall be conducted in a computer lab setting with each participant and the trainer having a computer terminal with access to the appropriate training site.
- o The City will provide and prepare the training facility with a computer station, including internet access for each participant and the trainer, a projector, screen, flip chart and white board.
- o The City will provide the necessary and appropriate personnel at all of the training sessions for the purpose of defining and addressing any specific business process questions that may arise.
- o Contractor's training materials assume all users are familiar with a Windows environment – the training shall not include any Windows or remedial computer training.
- o Contractor shall provide qualified trainers with at least 1 year of Northpointe Inc.'s COMPAS assessment and screening training experience.
- o Trainings shall focus on all functionality of the software. Scientific scoring logic used to construct the tools will not be part of the trainings.

Contractor's training travel budget is not to exceed eleven thousand three hundred and fifty dollars and no cents (\$11,350.00). Training travel expenses (airfare, lodging, meals and automobile expenses) are to be pre-approved by the City and invoiced to the City as defined in Appendix B of this agreement. The City acknowledges that once the travel expenses budget is exhausted, Contractor shall not conduct further on-site training sessions unless and until the parties agree to add more funding to that budget item.

**Section 8.1, Milestones with Payment Schedules.** The following milestone is added by this Third Amendment to the list of Milestones included in Appendix A, section 8.1:

| Milestone # | Estimated Duration (Business Days)    | Milestones  | Payment Amount |
|-------------|---------------------------------------|---|----------------|
| 12          | COMPAS 13.8 release (August 19, 2013) | <u>Implementation of COMPAS Criminal History Custom Fields</u> as described in Attachment # 1: "Change Control Request Form - PSI Custom Fields Modification". Upon the City approval of Milestone #12 (milestone sign-off) the payment will be | \$15,700       |

|  |  |                         |  |
|--|--|-------------------------|--|
|  |  | authorized by the City. |  |
|--|--|-------------------------|--|

**Section 9.2, Time and Cost Estimate Table.** The following table is added by this Third Amendment to the Time and Cost Estimate Table set forth in Appendix A, section 9.2:

**9.2.1 Additional Time and Cost Estimate Table**

| LINE ITEMS   | ESTIMATED TIME  | PRICE           |
|--|---|-----------------|
| Milestone # 12 (Implementation of COMPAS Criminal History Custom Fields)                           | 13.8<br>COMPAS<br>application<br>release<br>(8/19/2013) | \$15,700        |
| <b>New Employee and Refresher Training</b>   |   |                 |
| COMPAS Risk/Needs Assessment/Screening and Women's Risk/Needs (Gender Responsive) Onsite Trainings | 20 days (8-hours per day)                               | \$50,000        |
| COMPAS Secondary Assessment/Screening WebEx Trainings  | 63 hours  | \$12,600        |
| Pre-Approved Travel, not to exceed   |   | \$11,350        |
| <b>Total Third Amendment Expenditures</b>  |   | <b>\$89,650</b> |

c. **Appendix B.** Appendix B is hereby amended to include additional charges attached to this Third Amendment and labeled "Appendix B-1, *Addendum to Calculation of Charges*".

**3. Effective Date.** Each of the modifications set forth in Section 2 shall be effective on and after June 1, 2013.

**4. Legal Effect.** Except as expressly modified by this Amendment, all of the terms and conditions of the Agreement shall remain unchanged and in full force and effect.



IN WITNESS WHEREOF, Contractor and City have executed this Amendment as of the date first referenced above.

**CITY**

Recommended by:



**Wendy S. Still, MAS**  
**Chief Adult Probation Officer**  
**Adult Probation Department**

**CONTRACTOR**

**Northpointe, Inc.**



**Dave Wells**  
**General Manager**  
**1764 Forest Ridge Dr.**  
**Traverse City, MI 49686**

City vendor number: **85589**

Approved as to Form:

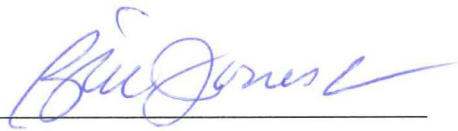
Dennis J. Herrera  
City Attorney

By:



**Jana Clark**  
**Deputy City Attorney**

Approved:



**Jaci Fong**  
**Director of the Office of Contract**  
**Administration, and Purchaser**

**APPENDIX B-1**  
**ADDENDUM TO CALCULATION OF CHARGES**

In accordance with Section 19 of this Agreement, the Contractor's total compensation under this Agreement is detailed in Appendix B, *Calculation of Charges* and below, inclusive of all costs required to complete the work specified in Appendix A. In no event shall the total costs under this Agreement exceed the amount provided in Section 19 of this Agreement.

| <b>Time Frame</b>                                     | <b>Notes</b>  | <b>Price</b>    |
|---|---|-----------------|
| From August, 2013 to City's sign-off on Milestone #12 | Milestone #12 (As detailed in Appendix A, Section 8.1 and Section 9.2.1)          | Total: \$15,700 |
| From June 01, 2013 to the End of this Agreement term* | New Employee and Refresher Training (Appendix A, section 2.7.1 and Section 9.2.1) | Total: \$73,950 |
| <b>Total additional charges</b>                       |   | <b>\$89,650</b> |

\* In accordance with Sections 2.7.1 New Employee and Refresher Training and 9.2.1 Additional Time and Cost Estimate Table of this Third Amendment, the City will request multiple training sessions from June 1, 2013 until the end of the term of this Agreement. Contractor shall invoice the City for training sessions and training travel expenses once each training session has been requested and approved by the City, and Contractor has provided the training session.

**Attachment # 1: Change Control Request Form – PSI Custom Field Modification**

Project: COMPAS – PSI

SFAPD Project Manager: Bella Fudym

Northpointe Project Manager: Becky Kelderhouse

TITLE: PSI CUSTOM FIELDS



**REQUEST INITIATION**

Requestor: Bella Fudym

Phone #: 415-558-2421

Email: [bella.fudym@sfgov.org](mailto:bella.fudym@sfgov.org)

Date Submitted: 3/28/13

System/Product/Service Name:

Add sorting feature to custom fields in interface and report for all criminal history records.

Version #: 1.0

**CONFIGURATION ITEM:** Software: ☒ Firmware: ☐ Hardware: ☐ Documentation: ☐

**CHANGE TYPE:** New Requirement: ☒ Requirement Change: ☐ Design Change: ☐

**REASON:** Legal: ☐ Market: ☐ Performance: ☐ Customer Request: ☒ Defect: ☐

**PRIORITY:** Emergency: ☐ Urgent: ☒ Routine: ☐

**Date Required:** \_\_\_/\_\_\_/\_\_\_ [UNKNOWN]

**CHANGE DESCRIPTION:** (Detail functional and/or technical information. Use attachment if necessary for Storyboard details and additional functionality.)

Criminal History currently does not provide sorting functionality *by date*. This prohibits SFAPD officers from listing the offender's arrest information sequentially by arrest date. Officers cannot view the data appropriately to meet the requirements of the court, which is to view the arrest history in order by date – not by the date that the record was added to the application.

Northpointe will design and develop a code change to the application so the Criminal History records can be sorted by the DATE field. The change will be implemented on the user interface and the output report. Both the interface and the report are custom designed for SFAPD; the application code change will modify the way the custom fields are coded and queried within the application. The DATE field will be available for extraction from the database when a production data dump is needed.

[Associated to outstanding Fogbugz Case #3369.]

**Attachments:** Yes / **No**

**ESTIMATES**

**Total Hours:** 70 Development/QA Hrs + PM

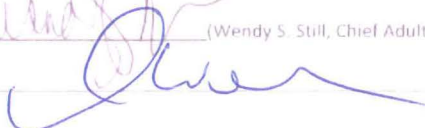
**Estimated Start Date:** June 2013

**Total Cost:** \$15,700

**Project Impact Analysis Needed:** Yes / **No** (If yes, include impact on budget, resources, schedule, risk etc.)

**APPROVALS:** Change Approved: ☒ Change Not Approved: ☐ Hold (Future Enhancement): ☐

1. Signature  (Wendy S. Still, Chief Adult Probation Officer) Date: 06/03/2013

2. Signature 

Date: 6/24/13

June 1, 2013

Change Control SFAPD

Attachment # 1

**City and County of San Francisco  
Office of Contract Administration  
Purchasing Division  
City Hall, Room 430  
1 Dr. Carlton B. Goodlett Place  
San Francisco, California 94102-4685**

**FOURTH AMENDMENT**

**THIS AMENDMENT** (the “Fourth Amendment”) is made as of March 8, 2016, in the City and County of San Francisco, State of California, by and between: Northpointe Inc. (successor in interest to Northpointe Institute for Public Management), hereinafter referred to as “Contractor,” and the City and County of San Francisco, a municipal corporation, hereinafter referred to as “City,” acting by and through its Director of the Office of Contract Administration, hereinafter referred to as “Purchasing”.

**Recitals**

**WHEREAS**, on or about March 7, 2011, the City and Contractor entered into a Software License and Services Agreement, including all Appendices thereto (“Prime Contract Agreement”), under which Contractor agreed, inter alia, to develop and deliver a Case Management System (“CMS”) to the City;

**WHEREAS**, between March 7, 2011, and January 14, 2013, a dispute arose between the City and Contractor regarding Contractor’s failure to deliver the CMS;

**WHEREAS**, the City and Contractor have settled this dispute and the San Francisco Board of Supervisors has approved such settlement by Resolution No. 150636 (“Settlement Agreement” attached hereto as Attachment 1 to Appendix A.1);

**WHEREAS**, the Settlement Agreement calls for (a) amendment of the Prime Contract Agreement to delete the CMS, including all related terms and work, in its entirety, from the Prime Contract Agreement; and (b) amendment of the Prime Contract Agreement to add delivery by Contractor to the City of the Alternative Deliverables, valued at \$1,232,101.00, as detailed in Appendix A.1 and Attachment 1 thereto (“Alternative Deliverables”);

**WHEREAS**, the City and Contractor desire to modify the Agreement pursuant to the terms and conditions of the Settlement Agreement;

**NOW, THEREFORE**, the parties agree as follows:

**1. Definitions.**

- a. **Agreement.** Shall mean the Agreement dated March 7, 2011, between Contractor and the City, as amended by the:
  - 1) Assignment and Assumption dated January 23, 2012
  - 2) First Amendment dated August 30, 2012
  - 3) Second Amendment dated January 14, 2013
  - 4) Third Amendment dated June 1, 2013
  - 5) Fourth Amendment dated March 8, 2016.

- b. **Alternative Deliverables:** Those Deliverables, valued at \$1,232,101.00, as detailed in Appendix A.1 (Statement of Work), and Attachment 1 (Settlement Agreement) thereto.
- c. **Licensed Software:** “The Licensed Software,” detailed in Appendix A.1 and Attachment 1 thereto, and, at Acceptance of this Project, all of the required enhancements, modifications or tailoring as described in the Requirements Specification and Project V&V Plan
- d. **Other Terms.** Terms used and not defined in this Amendment shall have the meanings assigned to such terms in the Agreement.

**2. Modifications to the Agreement.** The Agreement is hereby modified as follows:

**2.a. Section 3. Term of the Agreement; City Options** currently reads as follows:

**3. Term of the Agreement; City Options.**

**a. Term of the Agreement.** Subject to Section 6 (License), the license granted under this Agreement shall commence upon the Effective Date of the Agreement and shall continue for a period of five (5) years, as outlined in Appendix B, Calculation of Charges, unless sooner terminated in accordance with the provisions of this Agreement. Upon the Effective Date of this Agreement, Contractor shall grant web based access to its COMPAS Application to an unlimited number of Users of the San Francisco Adult Probation Department for the duration of the Licensed Software's configuration and development period (as detailed in Appendix A, Statement of Work). Upon final acceptance of the Licensed Software (issuance and signing, by both City and Contractor, of the Final Verification and Validation Report), the 365 day Warranty Period shall commence. At the expiration of the Warranty Period, the Software Maintenance and Support Services will start for a period of three years or until the term of the license expires, which ever occurs first.

**b. City Options.** City shall, in addition, have the right to exercise either of the following options at City's sole and absolute discretion:

(1) To extend the Software Licensing, Software Maintenance and Support Services for up to four (4) additional years, so that the total term of the Agreement does not exceed nine years, at the price per year equal to the price under the fifth year of the current Agreement; or

(2) To extend the Agreement by purchasing a perpetual license for a one-time fee of three hundred and thirty thousand dollars and no cents (\$330,000.00), which price shall include the Software Maintenance and Support for the year of purchase. City shall have the option to extend the Software Maintenance and Support Services for up to four (4) additional years. Ongoing maintenance and support fees shall be charged on a yearly basis at a rate of thirty thousand dollars and no cents (\$30,000.00) with an annual increase in each year not to exceed 5% of the previous year's fee. These maintenance and support fee increases shall not exceed a total of 15% increase over any consecutive five year period.

**Such section is hereby amended in its entirety to read as follows:**

**3. Term of the Agreement.**

**a. Term of the Agreement.** Subject to Section 6 (License), the term of this Agreement shall be extended for an additional period of five (5) years, through March 7, 2021, unless sooner

terminated in accordance with the provisions of Section 14 and/or Appendix A.1 and Attachment 1 thereto.

**b. Term of the Licenses.**

**i. Northpointe Suite Perpetual License:** Subject to the terms and conditions of this Agreement, and as detailed in Appendix A.1 and Attachment 1 thereto, Contractor grants to City a non-exclusive, non-transferable, royalty free, perpetual license to access and use the Northpointe Suite for 150 users that are members of City's Adult Probation Department (APD), Behavioral Health Court, Leaders in Community Alternatives (LCA) and SF Forensic Institute. The Northpointe Suite Perpetual License includes access to the COMPAS API Data Exchange web services.

**ii. COMPAS Offline Annual License:** Subject to the terms and conditions of this Agreement, and as detailed in Appendix A.1 and Attachment 1 thereto, Contractor grants to City a non-exclusive, non-transferable, royalty free, term license through March 7, 2021, to access and use the COMPAS Offline Annual License for up to 150 users.

**iii. SyncShare Annual License:** Subject to the terms and conditions of this Agreement, and as detailed in Appendix A.1 and Attachment 1 thereto, Contractor grants to City a non-exclusive, non-transferable, royalty free, term license through March 7, 2021, to access and use the SyncShare Annual License, 1 Agency Exchange.

**c. City Options – Subject to Board Approval.** Subject to formal approval by the San Francisco Board of Supervisors acting in its sole discretion, City shall, in addition, have the right to exercise an option to extend this Agreement and each term license up to five (5) additional years, at the price(s) agreed to in Appendix A.1 and Attachment 1, thereto.

**2.b. Section 6.a, paragraph 1, and 6.j, Licensed Software,** currently read as follows:

**6. Licensed Software**

**a. Grant of License.** Subject to the terms and conditions of this Agreement, Contractor grants to City the term, non-exclusive, non-transferable license, as described in Section 3a., "Term of the Agreement," to access and use the Licensed Software either by connection to Contractor's online hosting server during the course of the development project and prior to completion of the deliverables. Upon completion and acceptance of the Application deliverables of this Project, the Licensed Software shall be installed in the City's local server. City shall have access to the Licensed Software through any web-browser enabled computer given access by the City, so long as the total number of Users does not exceed the number of active individual licenses held by the City, except during the development project period where the City shall be allowed an unlimited number of Users. The user licenses are per user specific, one license one user and they are not to be shared. The licensing does not impact the number of servers or CPU's. The City is free to install the Application on multiple servers for disaster recovery, back up or redundancy purposes, testing/staging environments, training sites or other business needs at no extra charge. However, should additional individuals need access to the Application to



perform those duties additional user licenses would need to be purchased. The City at any time may purchase additional user licenses to meet the needs of the City at the yearly per user fees indicated in Appendix B, Calculation of Charges. City acknowledges and agrees that the Licensed Software is the proprietary information of Contractor and that this Agreement grants City no title or right of ownership in the Licensed Software. This limited term license grants City the following rights:

- 1) To use the programs provided by Contractor in whole or in any part thereof;
- 2) To train all users in the effective use of the Software;
- 3) To install, uninstall, or re-install the Software as many times as necessary to ensure that the programs are running properly;
- 4) To copy user manuals, for the exclusive use by City Users, in whole or in part and to make "cheat sheets" or other outlined material to assist users in learning or using the Software;
- 5) To receive upgrades, updates, bug fixes, new versions, supplements, or enhancements from Contractor within the provisions of any maintenance Agreements in force between City and Contractor.

\* \* \*

**j. Option for Free On-Line Access to COMPAS Application.** On completion and acceptance of all project deliverables, as specified in this Agreement, Contractor shall provide the option to all CCSF JUSTIS Program member departments to access, at no fee, the COMPAS on-line hosted Application for one year. This will allow other criminal justice City departments to access and test the Application for their own business use. Such option must be exercised through a written modification to this Agreement. Following the one-year of free access all those wanting access will need to purchase a user license at fees detailed in Appendix B, Calculation of Charges.

**Such section is hereby amended to read as follows:**

## **6. Licensed Software**

**a. Grant of Term and Perpetual Licenses.** Subject to the terms and conditions of this Agreement and as detailed in Appendix A-1 and Attachment 1 thereto, Contractor grants to City;

- (i) Northpointe Suite perpetual, non-exclusive, non-transferable license for 150 users to access and use that Licensed Software;
- (ii) COMPAS Offline annual, non-exclusive, non-transferable license for 150 users to access and use that Licensed Software; and
- (iii) SyncShare annual, non-exclusive, non-transferable license, 1 Agency exchange to access and use that Licensed Software.

Upon completion and acceptance of each Alternative Deliverable of this Project, the associated Licensed Software shall be installed on the premises designated by the City. As specified in Appendix A.1 and Attachment 1 thereto, City shall have access to the Licensed Software through any compatible web-browser enabled computer, so long as the total number of Users does not exceed the number of active individual licenses held by the City.

The user licenses are user specific, one license per user and they are not to be shared. The licensing does not impact the number of servers or CPU's. The City is free to install the Application on multiple servers for disaster recovery, back up or redundancy purposes, testing/staging environments, training sites or other business needs at no extra charge. However, should the number of production users exceed 150 (not including users in other environments), then additional user licenses would need to be purchased from the Contractor. City acknowledges and agrees that the Licensed Software is the proprietary information of Contractor and that this Agreement grants City no title or right of ownership in the Licensed Software. The term and perpetual licenses identified in Appendix A.1 and Attachment 1 thereto grant City the following rights:

- 1) To use the programs provided by Contractor in whole or in any part thereof;
- 2) To train all users in the effective use of the Software, with the exception of specified limitations with regard to training in the use of Women's COMPAS;
- 3) To install, uninstall, or re-install the Software as many times as necessary to ensure that the programs are running properly;
- 4) To copy user manuals, for the exclusive use by City, in whole or in part and to make "cheat sheets" or other outlined material to assist users in learning or using the Software;
- 5) To receive upgrades, updates, bug fixes, new versions, supplements, or enhancements from Contractor within the provisions of any maintenance Agreements in force between City and Contractor.

\* \* \*

**j. Option for Free On Line Access to COMPAS Application:** Not Used.

**2.c. Section 15, Training,** currently reads as follows:

**15. Training.** Contractor will provide up to 10 days of training in the manner, quality and quantity of time specified in Appendix A in the use and operation of the Licensed Software at the location identified by the San Francisco Adult Probation Department. Upon request by the City, Contractor will provide additional training at its current best government rates.

**Such section is hereby amended in its entirety to read as follows:**

**15. Training.** Contractor will provide training as specified in Appendix A.1, Attachment 1 thereto and to be detailed in NPP.

**2.d. Section 19, Payment,** currently reads as follows:

**19. Payment.** During the configuration/development period, the invoices shall be sent to the San Francisco Adult Probation Department upon approval of the milestones specified in Appendix A and subsequent annual billing for licensing fees after the 365 days Warranty Period as specified in Appendix A, Statement of Work and Appendix B, Calculation of Charges. The City reserves the right to negotiate City and County wide Site License user fee. Compensation shall be due and payable within 45 days of the date of invoice. In no event shall the amount of



this Agreement exceed six hundred seventy nine thousand three hundred dollars and no cents (\$679,300.00). The breakdown of costs associated with this Agreement is based on the milestones as specified in Appendix A Statement of Work and the annual maintenance and support fees as specified in Appendix B Calculation of Charges. No charges shall be incurred under this Agreement nor shall any payments become due to Contractor until Licensed Software and services required under this Agreement are received from Contractor and approved by the San Francisco Adult Probation Department as being in accordance with this Agreement.

In no event shall City be liable for interest or late charges for any late payments.

**Such section is hereby amended in its entirety to read as follows:**

**19. Payment.** Payment shall be made in accordance with Appendix A.1, Attachment 1 thereto, and Appendix B.2.

**2.e. Section 36, Notice to the Parties,** currently reads as follows:

**36. Notice to the Parties.** Unless otherwise indicated elsewhere in this Agreement, all written communications sent by the parties may be by U.S. mail, and e-mail, and shall be addressed as follows:

To City: Ms. Wendy S. Still  
Chief Adult Probation Officer  
San Francisco Adult Probation Department  
880 Bryant Street, Room 200, San Francisco, CA 94103  
[wendy.still@sfgov.org](mailto:wendy.still@sfgov.org); fax: (415) 553-1717

To Contractor: Northpointe Institute for Public Management  
C/O: Brian Mattson, Vice President  
112 N. Rubey Dr.  
Golden, CO 80403  
[bmattson@npipm.com](mailto:bmattson@npipm.com); fax: (303) 216-9459

Either party may change the address to which notice is to be sent by giving written notice thereof to the other party. If e-mail notification is used, the sender must specify a Receipt notice. Any notice of default must be sent by an overnight delivery service.

**Such section is hereby amended in its entirety to read as follows:**

**36. Notice to the Parties/Executives.** Unless otherwise indicated elsewhere in this Agreement, all written communications sent by the parties may be by U.S. mail, and e-mail, and shall be addressed as follows:

To City: Ms. Karen L. Fletcher  
Chief Adult Probation Officer  
San Francisco Adult Probation Department  
880 Bryant Street, Room 200, San Francisco, CA 94103  
[karen.fletcher@sfgov.org](mailto:karen.fletcher@sfgov.org); fax: (415) 553-1717

To Contractor: Northpointe Inc.  
Attn: Becky Kelderhouse

1764 Forest Ridge Drive, Suite A  
Traverse City, MI 49686  
becky.kelderhouse@NorthPointeInc.com  
Toll: 888.221.4615  
Direct: 231.714.0166

Either party may change the address to which notice is to be sent by giving written notice thereof to the other party. If e-mail notification is used, the sender must specify a Receipt notice. Any notice of default must be sent by an overnight delivery service.

**2.f. Appendix A (Statement of Work). Notice to the Parties** Appendix A is replaced in its entirety by Appendix A.1., attached hereto and fully incorporated herein. Each reference in the Agreement to Appendix A shall hereinafter be understood and agreed to reference Appendix A.1 and Attachment 1 thereto. Each reference in the Agreement to Phases I, II, and III (or the equivalent), shall hereinafter be understood and agreed to reference PHASES 1 through 16, and their subordinate SETS, as detailed in Appendix A.1, and Attachment 1 thereto. City and Contractor each expressly understands and agrees that this Fourth Amendment (1) deletes the Case Management System ("CMS"), including all related terms and work, in its entirety, from the Agreement, and (2) adds delivery by Contractor to the City of the Alternative Deliverables detailed in Appendix A.1, and Attachment 1 thereto.

**2.g. Appendix B.1 (Calculation of Charges). Notice to the Parties** Appendix B.1 is replaced in its entirety by Appendix B.2., attached hereto and fully incorporated herein. Each reference in the Agreement to Appendix B and/or Appendix B.1 shall hereinafter be understood and agreed to reference Appendix B.2.

**3. Effective Date.** Each of the modifications set forth in Section 2 shall be effective on and after the date of this Fourth Amendment.

**4. Legal Effect.** Except as expressly modified by this Fourth Amendment, all of the terms and conditions of the Agreement shall remain unchanged and in full force and effect.

IN WITNESS WHEREOF, the parties hereto have executed this Agreement on the day first mentioned above.

**CITY**

Recommended by:

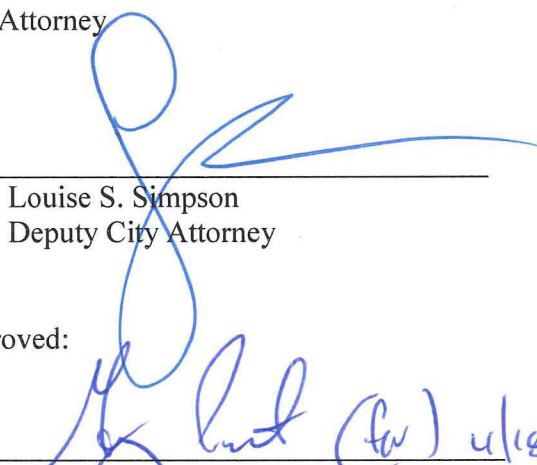


Karen L. Fletcher  
Chief Adult Probation Officer  
San Francisco Adult Probation Department

Approved as to Form:

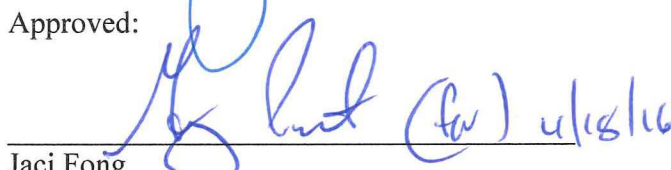
Dennis J. Herrera  
City Attorney

By:



Louise S. Simpson  
Deputy City Attorney

Approved:



Jaci Fong  
Director of the Office of Contract  
Administration, and  
Purchaser

**CONTRACTOR**

Northpointe Inc.



Brian Beattie, Chief Financial Officer

Northpointe Inc.  
1764 Forest Ridge Drive, Suite A  
Traverse City, MI 49686

City vendor number: 83611

Appendices:

Appendix A.1

Appendix B.2

## **APPENDIX A.1: STATEMENT OF WORK**

February 29, 2016

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## **I. PURPOSE OF FOURTH AMENDMENT**

City and Contractor each expressly understands and agrees that the purpose of this Fourth Amendment is to implement the settlement memorialized in Attachment 1, hereto: (1) to delete the Case Management System ("CMS"), including all related terms and work, in its entirety, from the Agreement, and (2) to add delivery by Contractor to the City of the Alternative Deliverables detailed in PHASES 1 through 16, below.

Contractor understands and agrees that time is of the essence and that Contractor's failure to comply with any and all schedule requirements set forth herein may be deemed an event of default, upon ten days written notice by City.

## **II. PHASES AND SETS OF THE PROJECT**

The Alternative Deliverables will be requested and delivered in the PHASE and SET format. The PHASEs are numbered from PHASE 1 to PHASE 16, but may be requested and delivered in a non-sequential manner. The sequence of the PHASEs will be determined by the City and Contractor Project Managers. Each PHASE is divided into SETs and may be combined and/or conducted simultaneously. The details for delivery and acceptance of the SETs and PHASEs are and/or will be defined in this Appendix A.1, and as subsequently developed in the Narrative Project Plan (NPP), and Project Verification and Validation (V&V) Plan(s), as more fully described herein. Upon City's request, Contractor and City shall commence work for the PHASEs and SETs described below.

## **III. ALTERNATIVE DELIVERABLES**

### **Northpointe COMPAS Suite:**

**PHASE 1 Delivery of the Northpointe Suite Perpetual Licenses** for 150 users that are members of Adult Probation Department (APD), Behavioral Health Court, Leaders in Community Alternatives (LCA) and SF Forensic Institute. Northpointe Suite Perpetual Licensed software package to be delivered to City for implementation on the City instances (Training and Production) and supported in accordance with this Agreement. The terms of Attachment 1, Exhibit 1, Section 1 have been identified as Phase 1 and the following SET:

SET 1.1 – Northpointe Suite Perpetual Licenses for 150 users

**PHASE 2 Hosting Services.** The terms of Attachment 1, Exhibit 1, Section 2 have been identified as Phase 2 and the following SET:

SET 2.1 – Deployment, maintenance and monitoring of the APD COMPAS Training and Production instances within the Northpointe owned data center for up to 90 days maximum from March 8, 2016, the effective date of the Fourth Amendment.

**PHASE 3 Integration - Data Exchanges. Connections (WebService Interfaces) between Northpointe Suite (COMPAS) and APD's New Case Management System.** The terms of Attachment 1, Exhibit 1, Section 3 have been identified as Phase 3 and divided into the following SETS:

SET 3.1 – COMPAS Assessments (COMPAS Core and Women)

SET 3.2 – COMPAS Assessment (Reentry)

SET 3.3 – COMPAS Secondary Screening/Assessments (Static 99, Stable2007, Acute 2007, VASOR)

SET 3.4 – COMPAS Secondary Screening Assessments (DVSI, TCU-Drug Screen, NIJ Mental Health/CMHS)

SET 3.5 – COMPAS Secondary Screening Assessments (UNCOPE, URICA, TCU-Criminal Thinking Scale)

SET 3.6 – COMPAS Case Supervision Review

**PHASE 4 Northpointe Suite Support and Maintenance.** The terms of Attachment 1, Exhibit 1, Section 4 have been identified as Phase 4 and the following SET:

SET 4.1 – Northpointe shall provide software support and maintenance for the Northpointe Suite/COMPAS, for the duration of this Agreement as specified in the Fourth Amendment and Attachment 1 thereto.

**PHASE 5 Product Development (Customizations for the COMPAS software).** -

The terms of Attachment 1, Exhibit 1, Section 5 have been identified as Phase 5 and divided into the following SETS:

SET 5.1 – Case Plan for the DVSI.

SET 5.2 – Case Plan for the Acute 2007.

SET 5.3 – Case Plan for the Stable 2007.

SET 5.4 – Case Plan for the Community Mental Health.

SET 5.5 – Case Plan for the TCU Drug Screen.

SET 5.6 – Case Plan for the TCU Criminal Thinking.

SET 5.7 – Case Plan for the Static 99R.

SET 5.8 – Case Plan for the VASOR.

SET 5.9 – Case Plan for the NIJ.

SET 5.10 – Case Plan for the URICA.

SET 5.11 – Case Plan for the UNCOPE.

SET 5.12 – Case Plan for the COMPAS Case Supervision Review.

SET 5.13 – PSI Acute2007

SET 5.14 – PSI Stable 2007

SET 5.15 – PSI for DVSI

SET 5.16 – PSI for Community Mental Health,

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SET 5.18 – PSI for TCU Criminal Thinking,

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SET 5.20 – PSI for VASOR,

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SET 5.22 – PSI for URICA,

SET 5.23 – PSI for UNCOPE,

SET 5.24 – PSI for COMPAS Case Supervision Review

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SET 5.26 – Custom Fields - City's Request 2

SET 5.27 – Custom Fields - City's Request 3

SET 5.28 – Custom Fields - City's Request 4

SET 5.29 – Custom Fields - City's Request 5

**PHASE 6 COMPAS Reports.** The terms of Attachment 1, Exhibit 1, Section 6 have been identified as Phase 6 and divided into the following SETS:

SET 6.1 – Reports identified in Attachment A hereto as detailed in Dave Wells' email dated 2/24/15



- SET 6.2 – Ad-Hoc report for Acute2007
- SET 6.3 – Ad-Hoc report for Stable2007
- SET 6.4 – Ad-Hoc report for Static 99R
- SET 6.5 – Ad-Hoc report for Secondary screenings
- SET 6.6 – Updates and addition to NP standard reports: "...standard reports get updated/added  
NP shall provide the updated and added reports to APD via standard scheduled  
COMPAS software releases."
- SET 6.7 – APD requested Ad-Hoc report 1
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- SET 6.9 – APD requested Ad-Hoc report 3
- SET 6.10 – APD requested Ad-Hoc report 4
- SET 6.11 – APD requested Ad-Hoc report 5
- SET 6.12 – APD requested Ad-Hoc report 5
- SET 6.13 – APD requested Ad-Hoc report 6
- SET 6.14 – APD requested Ad-Hoc report 7
- SET 6.15 – APD requested Ad-Hoc report 8
- SET 6.16 – APD requested Ad-Hoc report 9
- SET 6.17 – APD requested Ad-Hoc report 10

**PHASE 7 Migration of APD's data from Northpointe/COMPAS to APD's new Case Management System.** The terms of Attachment 1, Exhibit 1, Section 7 have been identified as Phase 7 and the following SET

- SET 7.1 – APD's data migration

**PHASE 8 COMPAS Technical Training for APD's IT Staff.** The terms of Attachment 1, Exhibit 1, Section 8 have been identified as Phase 8 and divided into the following SET:

- SET 8.1 – IT Staff Training – "Northpointe (NP) shall provide up to a total of 25 hours of remote technical training with APD's IT staff for IT related topics (system configuration, installation, DB structure, Ad-hoc reporting)."

**PHASE 9 COMPAS Officer (User) Training.** The terms of Attachment 1, Exhibit 1, Section 9 have been identified as Phase 9 and divided into the following SETS:

- SET 9.1 – Risk/Needs Assessment "New Employee" (min 2 days/8hours per day),
- SET 9.2 – Risk/Needs "Employee Refresher" (min 1day/8hours per day)
- SET 9.3 – Women's COMPAS "New Employee" or "Employee Refresher" - 1 day/8hours a day.
- SET 9.4 – Training For Trainers (T4T) trainings

**PHASE 10 COMPAS Secondary Assessment Training for APD's Staff.** The terms of Attachment 1, Exhibit 1, Section 10 have been identified as Phase 10 and the following SET:

- SET 10.1 – Northpointe (NP) shall provide up to 32 hours of training via WebEx (scheduled from 1.5 to 4 hours per session) on the software navigation and general use of the secondary screenings, their integration with Case Plan and PSI (if required)

**PHASE 11 COMPAS Training for Trainers (T4T) for APD's Staff.** Northpointe will deliver up to three standard on-site Training for Trainers (T4T) sessions, three (3) days each as defined in Attachment 1, Exhibit 1, Section 11. The terms of Attachment 1, Exhibit 1, Section 11 have been identified as Phase 11 and divided into the following SETS:

- SET 11.1 – Northpointe to deliver one on-site, 3-day Training For Trainers (T4T) – Training Session 1.

SET 11.2 – Northpointe to deliver one on-site, 3-day Training For Trainers (T4T) – Training Session 2.

SET 11.3 – Northpointe to deliver one on-site, 3-day Training For Trainers (T4T) – Training Session 3.

### **Northpointe New Products**

**PHASE 12 Northpointe COMPAS Offline Annual License .** The COMPAS Offline module is a stand-alone module of the Northpointe Suite that contains a restricted subset of the full Suite application. COMPAS Offline allows for creating and uploading data for existing offenders in environments where network access is not accessible. The terms of Attachment 1, Exhibit 1, Section 12 have been identified as Phase 12 and divided into the following SETS:

SET 12.1 – Northpointe to deliver one COMPAS Offline annual license for up to 150 users for five (5) years and such software will be supported in accordance with this Agreement.

SET 12.2 – Northpointe to assist with the configuration and setup of the COMPAS application to activate the COMPAS Offline module (remotely).

SET 12.3 – Northpointe to package COMPAS Offline software installer for delivery to the City's IT Staff. Installation to be performed on stand-alone City user hardware for up to 150 users by City IT Staff.

**PHASE 13 Northpointe COMPAS SyncShare Annual License, 1 Agency Exchange.** As specified in Attachment 1, Exhibit 1, Section 13: "Northpointe COMPAS SyncShare Annual License, 1 Exchange. SyncShare is a Northpointe tool that gives Northpointe Suite users the ability to access person data from outside City's production instance of COMPAS. The terms of Attachment 1, Exhibit 1, Section 13 have been identified as Phase 13 and divided into the following SETS:

SET 13.1 – Northpointe to deliver one COMPAS SyncShare annual license for 1 Agency exchange and such software will be supported in accordance with this Agreement.

SET 13.2 – Northpointe to assist with the configuration and setup of the COMPAS application to activate the COMPAS SyncShare module (remotely).

SET 13.3 – Northpointe to package COMPAS SyncShare software module for delivery to the APD IT Staff. Installation to be performed on APD hardware for up to 150 users to allow data sync with one other agency.

**PHASE 14 Technical, Consulting and Training Services, for Northpointe New Products (COMPAS Offline and SyncShare).** Northpointe will provide additional technical consulting and/or training services related to the new product implementations, as requested and approved by the APD Project Manager as defined in Attachment 1, Exhibit 1, Section 14. The terms of Attachment 1, Exhibit 1, Section 14 have been identified as Phase 14 and divided into the following SETS:

SET 14.1 – SyncShare Administrator Training: SyncShare Set-up, system configuration support of the Northpointe SyncShare software up to 6 hours via remote WebEx session.

SET 14.2 – SyncShare Training for Trainers (T4T) with end user training up to 4 hours via remote WebEx session.

SET 14.3 – COMPAS Offline (Northpointe Suite Offline) Training - System Admin Installation training, set-up and support up to 8 hours via WebEx.

SET 14.4 – COMPAS Offline T4T end user training up to 4 hours via WebEx

SET 14.5 – COMPAS Offline (Northpointe Suite Offline) and SyncShare installation on APD server, with acceptance by APD per Northpointe and APD agreed upon acceptance criteria.

### **Globally Applicable**

**PHASE 15 Technical and Consulting Services.** The terms of Attachment 1, Exhibit 1, Section 15 have been identified as Phase 15 and the following SET:

SET 15.1 – As specified in Attachment 1, Exhibit 1, Section 15: “Northpointe (NP) shall provide up to 160 hours of on-site or remote software customization services (e.g., design, technical meetings, implementation) over 5 years, as determined by APD Project Manager.”

**PHASE 16 Travel – 12 trips.** Northpointe shall provide up to twelve (12) on-site trips as specified in Attachment 1, Exhibit 1, Section 16. The terms of Attachment 1, Exhibit 1, Section 16 have been identified as Phase 16 and divided into the following SETS:

SET 16.1 – Trip 1  
SET 16.2 – Trip 2  
SET 16.3 – Trip 3  
SET 16.4 – Trip 4  
SET 16.5 – Trip 5  
SET 16.6 – Trip 6  
SET 16.7 – Trip 7  
SET 16.8 – Trip 8  
SET 16.9 – Trip 9  
SET 16.10 – Trip 10  
SET 16.11 – Trip 11  
SET 16.12 – Trip 12

## **IV. OVERALL PROJECT APPROACH**

### **A. City Drafts NPP for All PHASES/SETS:**

As appropriate, following signing of this Fourth Amendment, City will draft NPP. NPP related tasks are to be completed in collaboration with Contractor. Both parties shall sign the initial and each successive published version of the NPP to indicate agreement of its contents.

The NPP may include details of any required Project elements to be determined (TBD), including: further definition of the Project approach, organization, roles and responsibilities; a detailed Project schedule with known milestones, task assignments, deliverables and deliverable dates; sub-plans, communication plan and required status reports; Project scope and risk management; description of methods and tools to be used; detailed descriptions of features with its activities, and requirements for any other deliverable Project documents, as well as the plan for interim and/or Final Acceptance of the Project by the City.

The NPP will remain flexible to be modified in various ways throughout the lifecycle of the Project, as requirements change and/or issues surface during Project design and/or Alternative Deliverables. The NPP will be kept current with the status of the Project, and will reflect the most current overview of the Project at any given time in the lifecycle. The final version of the NPP at the time of Project delivery becomes the basis, along with the final version of the V&V Plan of each PHASE of the Project, for final verification and validation of each PHASE's Alternative Deliverable(s).

### **B. City Drafts Project V&V Plan for All PHASES/SETS:**

As appropriate, following signing of NPP, City shall draft a Project V&V Plan for each PHASE(s) and SET(s) of the Project. Contractor shall assist in completing the content of this document in collaboration



with the City and both Parties shall sign the initial and each successive published version of the V&V Plan to indicate agreement of its content. The V&V Plan will be updated during the Project lifecycle as requirements are developed and modified and/or if issues surface. The V&V Plan defines the methods and procedures to be used to verify, and ensure the physical presence of the required functionalities and other deliverables; and to test and/or validate the quality, according to Requirement Specifications and Acceptance criteria.

The V&V Plan may contain:

1. **Project Requirements Specifications and Tracking Matrix** is the list of all Alternative Deliverable(s) requirements for the defined PHASE(s) and SET(s), each with its defined Acceptance criteria, which are categorized and numbered for traceability;
2. **Acceptance Test Plan** is developed in collaboration with the Contractor, which specifies the activities that will be used to validate the fitness of the completed Alternative Deliverable(s) for operational use, and provide the basis for formal Acceptance of the Alternative Deliverable(s) by the City; and
3. **Go Live Sub-Plan** is developed in collaboration with the Contractor, specifies the required tasks to prepare for the deployment of the PHASE(s)/SET(s).

**C. Contractor Provides System Requirements for All PHASE(s)/SET(s):**

Within 15 business days of the commencement of work on each PHASE/SET and at City's request, Contractor shall provide City with written documentation of any hardware, software, system, and applications requirements for that PHASE(s)/SET(s) ("System Requirements"). Contractor's System Requirements shall accurately describe the components needed for an operational production platform and Contractor will assist with issues related to City's installation and configuration of the Alternative Deliverables in accordance with this Agreement.

## **V. DEVELOPMENT/CUSTOMIZATION PROJECT APPROACH FOR PHASES 3, 5, 7 AND 15**

**A. AGILE Development Methodology for Development/Customization Phases 3, 5, 7, and 15:**

The City and Contractor will follow the AGILE development methodology and work closely in the development of the requirements and custom features for Software Application(s) for the Alternative Deliverables identified in PHASES 3, 5, 7 and 15 (Development/Customization). The requirements, design, development, deployment, migration and acceptance of these PHASES will be planned as a series of iterations that allow incremental delivery of features and functionalities.

**B. Iterative Process for Requirement Specifications for Development/Customization Phases 3, 5, 7, and 15:**

City shall provide Business Requirements to Contractor for each PHASE and, as appropriate, each SET. Based upon such Business Requirements, Contractor shall provide Requirement Specifications and appropriate tracking documents for each PHASE and, as appropriate, each SET for City's review and written approval. Such Requirement Specifications and tracking documents must be delivered to City within 30 calendar days of City's delivery of the Business Requirements to Contractor, unless otherwise agreed by City and Contractor.

**C. Iterative Process for Design Documents for Development/Customization Phases 3, 5, 7, and 15:**

Unless otherwise agreed by City and Contractor, Contractor shall develop and deliver Design Documents in satisfaction of the approved Requirement Specifications for each PHASE and, as appropriate, each SET

for City's review and written approval. Such Design Documents must be delivered to City in accordance with NPP.

## **VI. DEVELOPMENT/CUSTOMIZATION PROCESS FOR PHASE 5 ALTERNATIVE DELIVERABLES**

Contractor's standard release schedule shall apply to Contractor's release to City of PHASE 5 Alternative Deliverables, on the conditions that:

1. Within 30 days after execution of this Fourth Amendment and once per quarter as needed, City and Contractor shall meet to develop a written schedule for release of PHASE 5 SET(s) consistent with Contractor's standard quarterly release dates ("PHASE 5 Schedule"), to be further defined and/or updated in NPP. Upon City's written approval of Contractor's Design Documents, Contractor shall release the requested Alternative Deliverables to City per the PHASE 5 Schedule, unless otherwise agreed by City and Contractor.
2. Contractor agrees that remediation of any subsequently identified discrepancies and/or City changes shall be corrected/ implemented outside of Contractor's standard release schedule within 15 business days of City's written Deficiency Notice, unless otherwise agreed by City and Contractor.
3. Concurrent with each Alternative Deliverable release, Contractor shall provide the following, in electronic format all to be downloaded from Contractor's release site. (1) Packaged Alternative Deliverable(s); (2) detailed Deployment instructions for installation and configuration of the Packaged Alternative Deliverable(s), and (3) Final training instructions that reflect the Packaged Alternative Deliverable(s)' non-custom features and functionalities for the City's review and feedback. Contractor shall provide all assistance required for the successful deployment of each Packaged Alternative Deliverable(s) and will provide additional final Deployment instructions as needed.

## **VII. DEVELOPMENT/CUSTOMIZATION OF PHASE 3 ALTERNATIVE DELIVERABLES - INTERFACES**

Project Development/Customization of PHASE 3 Alternative Deliverables shall be planned as a series of Iterations for each SET within a PHASE.

### **A. Delivery Schedule:**

1. Within 30 calendar days after execution of this Fourth Amendment and once per quarter as needed, City and Contractor shall meet to develop a written schedule for release of PHASE 3 SET(s) consistent with Contractor's standard quarterly release dates ("PHASE 3 Schedule"), to be further defined and/or updated in NPP. Upon City's written approval of Contractor's Requirement Specifications and/or Design Documents, as agreed by the Parties, Contractor shall release the requested Alternative Deliverables to City per the PHASE 3 Schedule, unless otherwise agreed by City and Contractor;



2. Contractor agrees that remediation of any subsequently identified discrepancies shall be corrected/implemented outside of Contractor's standard release schedule within 15 business days of City's written Deficiency Notice, unless otherwise agreed by City and Contractor.
3. Contractor agrees that implementation of any subsequently identified City changes shall be implemented in the form of a hot patch in accordance with the following priority schedule, unless otherwise agreed by the Parties:

| Priority  | Criteria  | Avg. Resolution Targets   |
|---|---|---|
| <b>PRIORITY 1<br/>(Urgent)</b><br><br>Down Production System                          | <p>This type of problem is considered the most critical: the full production system has failed and users are unable to login on a production server. These calls are handled immediately and all appropriate Managers are notified.</p> <p>Customer contact is maintained until Northpointe and the Customer reach a viable resolution.</p>   | Responses is as soon as possible (within an hour of notification). Work continues on resolution – target typically within 24 hours including hot patch as needed. |
| <b>PRIORITY 2<br/>(High)</b><br><br>Critical Business Process Function is Unavailable | <p>A P2 problem occurs when critical tasks cannot be performed in the production system, but the error does not impair essential operations. Processing can still continue in a restricted manner.</p> <p>The primary goal is to eliminate functional limitations or restrictions to those key portions of the system that adversely impact operation of the production system.</p> | Response within 8 business hours.<br>Resolution within 48 hours (not including development or release time for full release and/or hot patch)                     |
| <b>PRIORITY 3<br/>(Normal)</b><br><br>Normal Priority                                 | <p>These calls make up over 90% of calls to Customer Care.</p> <p>P3 issues cover topics such general usage information, interface 'annoyances', non-business critical defects, and general "how-to" questions regarding the application and/or interfaces.</p>   | Response within 2 business days.<br>Resolution scheduled for next software release.   |

4. Before the PHASE 3 Schedule release date(s), development/customization of PHASE 3 Alternative Deliverables shall be planned as a series of Iterations for each PHASE 3 SET.

#### **B. Contractor's Hosted Test Instances:**

Once the complete functionalities of a SET are developed, if requested by the City, the Contractor shall deploy the SET on the Contractor's "Hosted Test" instance, and perform functional and integration testing to ensure compliance with the Requirement Specifications and Contractor's Design Documents, as appropriate. The Contractor's SET(s) testing result shall comply with the Requirement Specifications and Contractor's Design Documents and achieve a pass rate to be detailed and mutually agreed upon by the Parties in the NPP and V&V Plan, for each SET(s), before the SET(s) Review meeting with the City.

Contractor's Hosted Test Instance must duplicate a snapshot of City's production COMPAS environment. City shall package and deliver the snapshot to Contractor as mutually agreed by City and Contractor.

#### **C. SET(s) Review Meeting(s):**

After the functionalities of a SET(s) have been developed, deployed, and/or tested, at City's or Contractor's request, the Contractor shall conduct SET(s) Review Meeting(s) with the City to demonstrate that the design and development of the SET(s) complies with the Requirement Specifications and Contractor's Design Documents. Based on the outcome of this meeting:



1. City will document all issues, discrepancies, and/or departures from the Requirement Specifications and/or Contractor's Design Documents ("Deficiency Notice").
2. Within 15 business days of the City's written Deficiency Notice, Contractor shall correct all discrepancies, unless otherwise agreed by City and Contractor.
3. Upon completion of all corrective work Contractor will re-test the SET(s) and hold another SET(s) review meeting to discuss the fixes with the City.

***D. City's Review of Testing on Contractor's Hosted Test Instance:***

For verification and validation, City may review testing on Contractor's Hosted Test instance, via a process that will be detailed in NPP, and will document any errors, discrepancies, design flaws, and/or departures from the Requirement Specifications, Contractor's Design Documents, NPP, and/or V&V Plan. The City's Project Manager will provide written notice of discrepancies to Contractor's Project Manager ("Deficiency Notice"). Contractor shall correct all deficiencies within 15 business days of City's written Deficiency Notice, unless otherwise agreed by City and Contractor.

Following the City's review of each SET(s), the Phase 3 Alternative Deliverable(s) shall be released in accordance with the Phase 3 Schedule.

***E. Contractor Provides Packaged Alternative Deliverable, Deployment Instructions, and Draft Training Instruction:***

Concurrent with each Phase 3 Alternative Deliverable release, Contractor shall provide the following, in electronic format all to be downloaded from Contractor's release site. (1) Packaged Alternative Deliverable(s); (2) detailed Deployment Instructions for installation and configuration of the Packaged Alternative Deliverable(s), and (3) Final training instructions that reflect the Packaged Alternative Deliverable(s)' features and functionalities for the City's review and feedback. The Final Deployment and training instructions must provide complete, clear and simple instructions for the installation, configuration, administration, and operational use of the Packaged Alternative Deliverable(s). Contractor shall provide all assistance required for the successful deployment of each Packaged Alternative Deliverable(s) and will provide additional Final Deployment instructions as needed.

***F. City's V&V and Interim Acceptance Testing on City's Hosted Test:***

Following delivery of the Packaged Alternative Deliverable(s), the City will perform V&V, including Interim Acceptance Testing on City's Hosted Test Instance. Interim Acceptance Testing for each SET requires a 100% compliance pass rate with the Requirement Specifications and Contractor's Design Documents, to be detailed in the NPP and V&V Plan, for each SET. Otherwise the process of testing/fixing will continue, until the required 100% test pass rate is achieved and City provides Contractor with written notification of a passing test result.

The City's Project Manager will provide written notice of test result discrepancies to Contractor's Project Manager ("Deficiency Notice"). Contractor shall correct all deficiencies within 15 business days of City's written Deficiency Notice, unless otherwise agreed by City and Contractor.

Within 10 business days of receipt of written notification of the 100% passing test result, and before start of production, Contractor shall deliver the any training instructions updates in electronic format all to be downloaded from Contractor's release site.

***G. Additional Business Requirements:***

In the event that City requests additional Business Requirements to be included after completion of City's V&V and Interim Acceptance Testing on City's Hosted Test Instance, the City may direct Contractor to expend hours from PHASE 15 to update the Requirements Specifications, Contractor's Documents, incorporate the change(s), and retest to the City's satisfaction. This work shall be released in Contractor's



next standard release schedule, unless otherwise agreed by City and Contractor per the updated Phase 3 Schedule.

Interfaces that have interdependencies with other SET(s) and/or PHASE(s) may require Contractor to modify a previously completed SET(s) and/or PHASE(s) in order to achieve the overall desired integrated functionality, City's Operational goals, Requirements Specifications, and/or Contractor's Design Documents. Such modifications shall not require expenditure of PHASE 15 consulting hours or any additional expense of the City.

#### **H. City's Go-Live Testing:**

Upon completion of City's V&V and Interim Acceptance Testing on City's Hosted Test Instance, City shall deploy the Packaged Alternative Deliverable(s) on the City's Production Instance. City's functional and integration testing shall be considered complete when the test achieves a 100% compliance pass rate with the Requirement Specifications and Contractor's Design Documents, to be detailed in the NPP and V&V Plan, for each SET(s). Otherwise the process of testing/fixing will continue, until the required 100% test result is achieved.

Upon achieving 100% testing pass rate for the Package Alternative Deliverable(s) on the City's Production Instance, the City will Go-Live and begin its Production use.

City will provide Contractor 15 business days written notice before Go-Live. It is anticipated that the Go-Live for each Packaged Alternative Deliverable(s) will most likely occur during weekends, and/or non-business hours. The Contractor shall provide the Go-live support during this time.

#### **I. Final Acceptance Phase 3:**

Upon City's Acceptance and Production use of the last SET within PHASE 3, City will commence Final Acceptance. Contractor must achieve Final Acceptance within Ninety (90) calendar days following City's last deficiency notice for PHASE 3. Upon City's Acceptance and Production use of the last SET within PHASE 3, all fixes and/or resolutions shall be verified and validated according to the Final V&V Plan. Upon resolution of all outstanding issues, and successful completion of the Final V&V Checklist, City shall issue the Final V&V Report to indicate Acceptance and conclusion of PHASE 3.

PHASE 3 shall be deemed accepted if the City does not issue a deficiency notice within the later of 90 calendar days of the City's Go-Live of the last SET or 90 calendar days after Contractor has delivered the final fixes and/or resolutions of any deficiency notice for the last SET after Go-Live. Following Final Acceptance of PHASE 3, Contractor shall provide ongoing support as detailed in the Agreement.

## **VIII. DEVELOPMENT/CUSTOMIZATION OF PHASE 7 ALTERNATIVE DELIVERABLE - MIGRATION**

Project Development/Customization of the PHASE 7 Deliverable shall be defined and developed for a one-time production Go-Live event. This work will not be subject to Contractor's standard quarterly release schedule.

#### **A. Contractor's Hosted Test Instances:**

Once PHASE 7 is developed, the Contractor shall deploy it on Contractor's Hosted Test Instance. The data export will be validated per the Requirement Specifications and Contractor's Design Documents, as appropriate. The Contractor's SET testing result shall achieve a 100 % compliance pass rate with the Requirement Specifications and Contractor's Design Documents, as appropriate, to be detailed in the NPP and V&V Plan, for the SET before the SET Review Meeting(s) with the City, and the third-party CMS vendor as appropriate.



Contractor's Hosted Test Instance must duplicate a snapshot of City's production COMPAS environment. City shall package and deliver the snapshot to Contractor as mutually agreed by City and Contractor.

**B. SET(s) Review Meeting(s):**

After the functionalities of the SET have been developed, deployed, and/or tested, at City's or Contractor's request, the Contractor shall conduct SET Review Meeting(s) with the City to demonstrate that the design and development of the SET comply with the Requirement Specifications and/or Contractor's Design Documents, as appropriate. Based on the outcome of such meeting(s):

1. City will document all issues, discrepancies, and/or departures from the Requirement Specifications and/or Contractor's Design Documents ("Deficiency Notice)."
2. Within 15 business days of the City's written Deficiency Notice, Contractor shall correct all discrepancies, unless otherwise agreed by City and Contractor.
3. Upon completion of all corrective work Contractor will re-test the SET and hold another SET review meeting to discuss the fixes with the City.

**C. Contractor Provides Packaged Alternative Deliverable, Deployment Instructions, and Draft Training Instruction:**

Upon City's written request, Contractor shall provide the following, in electronic format all to be downloaded from Contractor's release site. (1) The Packaged Alternative Deliverable; (2) detailed Deployment instructions for installation and configuration of the Packaged Alternative Deliverable. Contractor shall provide all assistance required for the successful deployment of the Packaged Alternative Deliverable and will provide additional Deployment instructions as needed.

**D. City's V&V and Interim Acceptance Testing on City's Hosted Test Instance:**

Following delivery of the Packaged Alternative Deliverable, the City will perform V&V, including Interim Acceptance Testing on City's Hosted Test Instance. Interim Acceptance Testing requires a 100% compliance pass rate with the Requirement Specifications and Contractor's Design Documents, to be detailed in NPP and V&V Plan. Otherwise the process of testing/fixing will continue, until the required 100% test pass rate is achieved and City provides Contractor with written notification of a passing test result.

The City's Project Manager will provide written notice of test result discrepancies to Contractor's Project Manager ("Deficiency Notice"). Contractor shall correct all deficiencies within 15 business days of City's written Deficiency Notice, unless otherwise agreed by City and Contractor.

**E. Additional Business Requirements:**

In the event that City requests additional Business Requirements to be included after completion of City's V&V and Interim Acceptance Testing on City's Hosted Test Instance, the City may direct Contractor to expend hours from PHASE 15 to update the Requirement Specifications, Contractor's Design Documents, incorporate the change(s), and retest to achieve a 100% compliance pass rate with the updated Requirement Specifications and Contractor's Design Documents, to be detailed in NPP and V&V Plan.

**F. City's Go-Live Testing:**

Upon completion of City's V&V and Interim Acceptance Testing on City's Hosted Test Instance, City shall deploy the Packaged Alternative Deliverable on the City's Production Instance. City's functional and integration testing shall be considered complete when the test achieves a 100% compliance pass rate with the Requirement Specifications and Contractor's Design Documents, to be detailed in the NPP and V&V Plan. Otherwise the process of testing/fixing will continue, until the required 100% test result is achieved.



City will provide Contractor 15 business days written notice before Go-Live. It is anticipated that the Go-Live for each Package Deliverable(s) will most likely occur during weekends, and/or non-business hours. The Contractor shall provide Go-live support during this time.

#### **G. Final Acceptance Phase 7:**

Upon City's Acceptance and Production use of PHASE 7, City will commence Final Acceptance. Contractor must achieve Final Acceptance within Ninety (90) calendar days following City's last deficiency notice for PHASE 7. Upon City's Acceptance and Production use of PHASE 7, all fixes and/or resolutions shall be verified and validated according to the Final V&V Plan. Upon resolution of all outstanding issues, and successful completion of the Final V&V Checklist, City shall issue the Final V&V Report to indicate Acceptance and conclusion of PHASE 7.

PHASE 7 shall be deemed accepted if the City does not issue a deficiency notice within the later of 90 calendar days of the City's Go-Live of PHASE 7 or 90 calendar days after Contractor has delivered the final fixes and/or resolutions of any deficiency notice for PHASE 7 after Go-Live.

### **IX. DEVELOPMENT/CUSTOMIZATION OF PHASE 15 ALTERNATIVE DELIVERABLES**

PHASE 15 Alternative Deliverables are not yet determined. The City and Contractor shall detail develop/customization of PHASE 15 Alternative Deliverables in NPP and V&V Plan. The process for expenditure of PHASE 15 hours shall be detailed and tracked in NPP and/or V&V Plan.

### **X. PHASE 1, 2, 4, 6, 8-14 and 16 ALTERNATIVE DELIVERABLES**

#### **A. Packaged Alternative Deliverable (PHASE 1, 12 and 13):**

1. For Packaged Alternative Deliverables, Contractor shall provide the following, in electronic format all to be downloaded from Contractor's release site. (1) Packaged Alternative Deliverable(s); (2) detailed Deployment Instructions for installation and configuration of the Packaged Alternative Deliverable(s), and (3) Final training instructions that reflect the Packaged Alternative Deliverable(s)' non-custom features and functionalities for the City's review and feedback. The final Deployment and training instructions must provide instructions for the installation, configuration, administration of the Packaged Alternative Deliverable(s). Contractor shall provide all assistance required for the successful deployment of each Packaged Alternative Deliverable(s) and will provide additional Final Deployment instructions as needed.
2. Following delivery of the Packaged Alternative Deliverable(s), the City will deploy and perform V&V on each Packaged Alternative Deliverable on the City's Hosted Test Instance. City's functional and integration testing shall be complete when the test achieves a 100% compliance pass rate with the Requirement Specifications and Contractor's Design Documents, to be detailed in the NPP and V&V Plan. Otherwise the process of testing/fixing will continue, until the required 100% test result is achieved.
3. The City's Project Manager will provide written notice of discrepancies to Contractor's Project Manager ("Deficiency Notice"). Contractor shall correct all deficiencies within 15 business days of City's written Deficiency Notice, unless otherwise agreed by City and Contractor.

4. Upon completion of City's V&V and achievement of a 100% test pass rate on the City Hosted Test Instance, City shall deploy the Packaged Alternative Deliverable(s) on the City's Production Instance. City's functional and integration testing shall be considered complete when the test achieves a 100% compliance pass rate with the Requirement Specifications and Contractor's Design Documents, to be detailed in the NPP and V&V Plan. Otherwise the process of testing/fixing will continue, until the required 100% test result is achieved.

5. Upon achieving 100% testing pass rate for the Packaged Alternative Deliverable(s) on the City's Production Instance, the City will Go-Live and begin its Production use. City will provide Contractor 15 business days written notice before Go-Live. It is anticipated that the Go-Live for each Packaged Alternative Deliverable(s) will most likely occur during weekends, and/or non-business hours. The Contractor shall provide Go-live support during this time.

6. Upon City's Acceptance and Production use of a PHASE, City will commence Final Acceptance. Contractor must achieve Final Acceptance within Ninety (90) calendar days following City's last deficiency notice for a PHASE. Upon City's Acceptance and Production use of a PHASE, all fixes and/or resolutions shall be verified and validated according to the Final V&V Plan. Upon resolution of all outstanding issues, and successful completion of the Final V&V Checklist, City shall issue the Final V&V Report to indicate Acceptance and conclusion of a PHASE.

A PHASE shall be deemed accepted if the City does not issue a deficiency notice within the later of 90 calendar days of the City's Go-Live of a PHASE or 90 calendar days after Contractor has delivered the final fixes and/or resolutions of any deficiency notice for the a PHASE after Go-Live. Following Final Acceptance of a PHASE, Contractor shall provide ongoing support as detailed in the Agreement.

**B. Hosting Services (PHASE 2):**

City shall be deemed to have finally accepted hosted services upon either (1) expiration of the required hosting duration; or (2) earlier upon written notice by the City.

**C. Reports, Maintenance, Support, Training, Travel (PHASE 4, 6, 8 – 11, 14, 16):**

City shall detail the testing and Acceptance criteria and/or verification and validation process for all remaining Alternative Deliverables in NPP and V&V Plan.

## **XI. SECURITY**

**A. Physical Security:**

1. Contractor shall provide written verification and written evidence that all Contractor staff assigned to this Project have been fingerprinted and have successfully passed an FBI criminal history background check. Contractor shall sign Non-Disclosure Agreement as detailed in paragraph 33, "Proprietary or Confidential Information of City," of the License Agreement.
2. When on City premises, Contractor staff assigned to the Project shall wear their company identification badges at all times. The City will require Contractor to provide a letter of clearance on behalf of each Contractor staff member assigned to this Project stating that the Company has found each person to be suitably skilled for the tasks assigned and to be reliable; that each has signed a non-disclosure agreement regarding privacy of San Francisco data and other proprietary materials or intellectual property; and that résumé verifications have been completed.



**B. Information Security for Hosted Instances:**

1. Contractor shall be responsible for properly establishing security for City's data within the Application on all Contractor's hosted instances, to ensure that such security is conformant and compliant with, applicable local, California or Federal Department of Justice standards, such as CLETS and 28 C.F.R. Part 23 governing security of criminal justice or related similar data, and the requirements of HIPAA (Appendix C-1, Business Associate Addendum) regarding medical or health history data security. Contractor will provide guidance regarding the implementation of controls for the data's access and use. Contractor agrees to host City's Application Instances on servers secured with the HTTPS protocols.
2. Contractor shall provide for adequate System Administrator and end-user file back-up procedures as part of the installation of the required Instances of the Application Software, and for supplying all back-up media (i.e., tape) required for existing and new programs and data while installed and operated on Contractor's servers. Following installation by Contractor of the Application on the City's designated server(s) and approval of the installation by the City, City will be responsible for System file backup and restoration of its data, and provision of required storage media.

**C. Return/Destruction of City Data:**

1. At any time during the term of this Agreement within 30 calendar days of a written request by the City, and/or within 30 calendar days after the termination or expiration of this Agreement, Contractor shall provide the City with a complete copy, or any requested parts, of the City's hosted data in the database backup file format.
2. At any time during the term of this Agreement, City may request in writing the destruction of all or part(s) of the City's data, hosted on any of the Contractor's sites including, but not limited to Contractor's backups of the City's data. Within 30 calendar days of the receipt of City's written request, Contractor shall destroy City's data and shall provide written verification of the destruction of such City data.
3. Within 30 calendar days after of the termination or expiration of this Agreement unless otherwise directed by the City, Contractor shall destroy all of the City's data, hosted on any of the Contractor's sites including, but not limited to Contractor's backups of the City's data and shall provide written verification of the destruction of such City data.

## **Attachment 1**

# **SETTLEMENT AGREEMENT AND FULL AND FINAL RELEASE**

## SETTLEMENT AGREEMENT AND FULL AND FINAL RELEASE

This Settlement Agreement and Full and Final Release ("Settlement Agreement") is entered into by and between the City and County of San Francisco ("City") and Northpointe, Inc. ("Contractor") (collectively "Parties"), as of May 26, 2015 ("Effective Date").

### RECITALS

**WHEREAS**, on or about March 7, 2011, the City and Contractor entered into a Software License and Services Agreement, including all Appendices thereto ("Prime Contract Agreement"), under which Contractor agreed, *inter alia*, to develop and deliver a Case Management System ("CMS") to the City;

**WHEREAS**, between March 7, 2011, and January 14, 2013, Contractor failed to deliver a CMS to the City;

**WHEREAS**, on or about January 14, 2013, City authorized Contractor to enter into a Software License and Maintenance Agreement with Homeland Justice Systems, Inc. ("Sub-Contractor") for the benefit of the City ("Third-Party Beneficiary Contract"), under which Sub-Contractor undertook to deliver the CMS;

**WHEREAS**, to date no CMS has been delivered to the City and as a result a dispute exists between the City and Contractor regarding Contractor's failure to deliver the CMS to the City ("Dispute");

**WHEREAS**, the City and Contractor now wish to resolve this Dispute, without an admission of liability by Contractor;

**WHEREAS**, this Settlement Agreement calls for (a) amendment of the Prime Contract Agreement to delete the CMS, including all related terms and work, in its entirety, from the Prime Contract Agreement; and (b) amendment of the Prime Contract Agreement to add delivery by Contractor to the City of the Alternative Deliverables, valued at \$1,232,101.00, as detailed in Exhibit 1, attached hereto ("Alternative Deliverables");

**WHEREAS**, this Settlement Agreement authorizes the City to reassert its claim for an apportioned dollar value equal to the value of any item in Exhibit 1 that City has requested, but Contractor fails to deliver;

**WHEREAS**, this Settlement Agreement also calls for: (a) Contractor's termination of the Third-Party Beneficiary Contract at no cost to the City; (b) Receipt by City of an express written waiver and release of all claims by Contractor and Sub-Contractor against the City under the Third-Party Beneficiary Contract; and (c) written authorization by Contractor and Sub-Contractor for the City to copy, use, grant access to, and/or share with any future City CMS vendor any and all CMS screenshots, requirements, and/or requirements-related documents developed to date, pursuant to Section 5.b. of the Third-Party Beneficiary Contract.

**NOW, THEREFORE**, the City and Contractor agree as follows:

### TERMS OF THE SETTLEMENT AGREEMENT

#### I. Conditions:

a. **Board Approval:** The City and Contractor each understands and agrees that this Settlement Agreement is contingent upon the formal adoption of a Resolution authorizing the settlement by the San Francisco Board of Supervisors ("Board") acting in its sole discretion.

b. **Termination of Third-Party Beneficiary Contract:** The City and Contractor each also understands and agrees that this Settlement Agreement is contingent upon

City's receipt from Contractor and Sub-Contractor a fully executed original (in counterparts) of a Termination Document, including each of the following terms, within 15 calendar days of the Effective Date of this Settlement Agreement:

(a) **Termination of Third-Party Beneficiary Contract for Convenience:**

Termination of the Third Party Beneficiary Contract at no cost to the City;

(b) **Full and Final Release of Claims by Contractor and Sub-Contractor:** An express written waiver and release of all claims by Contractor and Sub-Contractor against the City under the Third-Party Beneficiary Contract;

(c) **Release of Restriction on Use:** A release of restriction on use authorizing the City the right to copy, use, grant access to, and/or share with any future City CMS vendor any and all CMS screenshots, requirements, and/or requirements-related documents developed to date, pursuant to Section 5.b. of the Third-Party Beneficiary Contract.

Once executed, the Termination Document will be attached to this Settlement Agreement as Exhibit 2.

2. **Consideration:** Subject to the conditions set forth above, the City and Contractor agree to settle this Dispute by (a) amendment of the Prime Contract Agreement to delete the CMS, including all related terms and work, in its entirety, from the Prime Contract Agreement; and (b) amendment of the Prime Contract Agreement to add delivery by Contractor to the City of the Alternative Deliverables, within a reasonable time frame requested by the City, in its sole discretion, by written request.

3. **Release By The City:**

a. **Release:** Except as set forth in Section 3.b, below, for good and valuable consideration described herein, the City agrees to fully and forever release and discharge Contractor, and its officers, directors, employees, attorneys and agents from all actions, causes of action, damages and claims that arise from the Dispute.

b. **Exception:** Contractor understands and agrees that the City may rescind the Release set forth in Section 3.a, above, and reassert its claim for an apportioned dollar value equal to the value of any one or more of the Alternative Deliverables that City has requested, but Contractor fails to deliver.

4. **Release By Contractor:** For good and valuable consideration described herein, Contractor agrees to fully and forever release and discharge the City, together with its elective and/or appointive boards, agents, servants, employees, consultants, departments, commissioners, attorneys, officers and agents from all actions, causes of action, damages and claims that arise from the Dispute, including under the Third-Party Beneficiary Agreement.

5. **Indemnity:** Contractor shall indemnify, hold harmless and defend City, its boards and commissions, and all of its officers, agents, members, employees, authorized representatives, assignees and transferees from any and all claims, demands, actions, causes of action, obligations, costs, expenses, damages, losses and/or liabilities that may be asserted against the City by any of Contractor's subcontractors of any tier (including Sub-Contractor) and/or suppliers, and/or any other third party, for any and all services, labor, materials, supplies and/or equipment used, or contemplated, to be used in the performance of work involved in the Dispute, including under the Third-Party Beneficiary Contract.

6. **Sole Modification:** Except as expressly modified by this Settlement Agreement (including amendment of the Prime Contract Agreement as set forth in Section 2, above), all of the terms and conditions of the Prime Contract Agreement shall remain unchanged and in full force and effect. All rights of the City and obligations of Contractor shall survive execution of this Settlement Agreement.

## REPRESENTATIONS

7. **No Assignment:** Each Party represents that it has not assigned or transferred, or agreed to assign or transfer, or attempted to assign or transfer, to any third party or entity (including without limitation any insurer) any interest in the matters being settled herein.

8. **Civ. Code § 1542 Waiver:** Each Party certifies that it has read Section 1542 of the California Civil Code, which provides:

“A general release does not extend to claims which the creditor does not know or suspect to exist in his or her favor at the time of executing the release, which if known by him or her must have materially affected his or her settlement with the debtor.”

As to the matters released in this Settlement Agreement, each Party specifically waives any benefit or right under California Civil Code Section 1542 and each assumes all risks of claims, known or unknown, heretofore or hereafter, arising from this waiver.

9. **Entire Agreement:** Each Party acknowledges that this Settlement Agreement contains and constitutes the entire agreement between the City and Contractor regarding the Dispute settled herein.

10. **Terms Contractual:** The terms of this Settlement Agreement are contractual and not a mere recital. The headings are for convenience only and do not limit or alter the described paragraphs in any manner.

11. **Representation by Counsel:** Each Party affirms and acknowledges that it has read and fully appreciates and understands the words, terms, conditions and provisions of this Settlement Agreement, is fully and entirely satisfied with the same, has been represented by legal counsel of its choice in the negotiation, preparation and execution of this Settlement Agreement, has conferred with its counsel prior to the execution of this Settlement Agreement and has executed this Settlement Agreement voluntarily and of its own free will and act. Each Party, by its execution of this Settlement Agreement, further represents that it has reviewed each term of this Settlement Agreement with its legal counsel, and that hereafter shall not deny the validity of this Settlement Agreement on the ground that it did not have full and adequate legal counsel.

12. **No Admission of Liability:** No aspect of this Settlement Agreement or the settlement which led to it is intended to be nor at any time shall be construed, deemed, or treated in any respect as an admission by the City or Contractor of liability for any purpose.

13. **Severability:** If any of the provisions of this Settlement Agreement or the application thereof is held to be invalid, its invalidity shall not affect any other provision or application of this Settlement Agreement to the extent that such other provision or application can be given effect without the invalid provision or application, and to this end, the provisions of this Settlement Agreement are declared and understood to be severable.

14. **Attorneys Fees and Costs:** Each Party shall bear its own legal expenses and costs incurred in connection with this Dispute and Settlement Agreement.

15. **Fully Negotiated:** Each Party represents and warrants that this Settlement Agreement and the settlement which led to it have been fully negotiated with the assistance of counsel and should not be construed more strictly against one Party than another.

16. **Authority to Execute and Bind:** Each Party represents and warrants that each of the persons executing this Settlement Agreement on its behalf has full and complete legal authority to do so and thereby bind the Party on behalf of which this Settlement Agreement is



executed, with the exception that the City's execution of the Settlement Agreement is subject to approval of the San Francisco's Board of Supervisors acting in its sole discretion.

17. **Choice of Law:** This Settlement Agreement shall be construed and enforced in accordance with the laws of the State of California.

18. **Counterparts:** This Settlement Agreement Full and Final Release may be signed in counterparts. Faxed signatures shall be deemed to be original signatures.

**IT IS SO AGREED:**

*July* May 7, 2015

CITY AND COUNTY OF SAN FRANCISCO

By: *Karen L. Fletcher*

KAREN L. FLETCHER

Chief Adult Probation Officer

CITY AND COUNTY OF SAN FRANCISCO

*July* May 2, 2015

NORTHPOINTE, INC.

By: *[Signature]*

Its: *[Signature]*

**Approved as to Form**

*July* May 8, 2015

CITY AND COUNTY OF SAN FRANCISCO

By: *[Signature]*

LOUISE S. SIMPSON

Deputy City Attorney

Attorneys for CITY AND COUNTY OF SAN FRANCISCO

May \_\_\_, 2015

TRAPEZE SOFTWARE GROUP INC.

By: \_\_\_\_\_

SANDRA MCFARLAND

Senior Counsel,

Attorneys for Northpointe, Inc.

**END OF DOCUMENT**

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18. **Counterparts:** This Settlement Agreement Full and Final Release may be signed in counterparts. Faxed signatures shall be deemed to be original signatures.

**IT IS SO AGREED:**

May \_\_, 2015

CITY AND COUNTY OF SAN FRANCISCO

By: \_\_\_\_\_

KAREN L. FLETCHER

Chief Adult Probation Officer

CITY AND COUNTY OF SAN FRANCISCO

July ~~15~~ 2, 2015

NORTHPOINTE, INC.

By: \_\_\_\_\_

Its: TONIA M. ABER

**Approved as to Form**

May \_\_, 2015

CITY AND COUNTY OF SAN FRANCISCO

By: \_\_\_\_\_

LOUISE S. SIMPSON

Deputy City Attorney

Attorneys for CITY AND COUNTY OF SAN FRANCISCO

July 2  
May \_\_, 2015

TRAPEZE SOFTWARE GROUP INC.

By: \_\_\_\_\_

SANDRA MCFARLAND

Senior Counsel,

Attorneys for Northpointe, Inc.

**END OF DOCUMENT**

**Exhibit 1**  
**of**  
**City and Northpointe Settlement Agreement**

| Sections                  | Items | Title   | Description   | Amount (for 5 year term)   |
|---------------------------|-------|---|---|--|
| Northpointe COMPAS Suite: |       |   |   |  |
|                           | 1     | Northpointe Suite Perpetual Licenses for 150 users that are members of Adult Probation Department (APD), Behavioral Health Court, Leaders in Community Alternatives (LCA) and SF Forensic Institute. (No 1) | <p>Northpointe Suite Perpetual License for 150 users for APD, Behavioral Health Court, LCA and SF Forensic Institute (APD's sex offender treatment contractor) users only (including Data Exchange WebServices Interfaces between COMPAS and APD's New CMS to accept and send data)</p> <p>- Northpointe(NP)/APD applicable Current Software License Agreement; Appendix A, Section 7.1 " The Licensed Software."</p> <p>Functionality includes (<u>as currently developed</u>):</p> <p>COMPAS Assessment Modules</p> <p>Core; Reentry; Women</p> <p>\$ COMPAS Integrated Case Plan</p> <p>\$ Secondary Screenings:</p> <ul style="list-style-type: none"> <li>• Static 99R, VASOR, TCU-Drug Screen, TCU- Criminal Thinking Scale, COMPAS Case Supervision Review, URICA, Stable 2007, Acute 2007, DVSI, NIJ Mental Health, UNCOPE</li> </ul> <p>\$ Ad Hoc Report Generator</p> <p>\$ Service Providers functionality</p> <p>\$ Event Log</p> <p>\$ Case Information:</p> <ul style="list-style-type: none"> <li>• case summary, • legal status, • assessed needs, • sex offender case information, • program tracking, • case notes • case termination, drug testing, case Eligibility, Associated cases, Case Outcomes, Documents, timelines, aggravation circumstances, Mitigation circumstances, restitution, conditions</li> </ul> <p>\$ Scheduling:</p> <ul style="list-style-type: none"> <li>• offender scheduling (includes some community service scheduling), • case worker/agent scheduling</li> </ul> <p>\$ Work and Education History</p> <p>\$ Demographics:</p> | <p><b>\$330,000</b></p> <p>(This is the amount of perpetual Licenses and 5 year term does not apply)</p> |

|  |   |   |   |   |
|--|---|---|---|---|
|  |   |   | <ul style="list-style-type: none"> <li>• physical description, • contact information, • personal contacts, • any alias, • gang membership, • miscellaneous demographic information, • sex offender registration, Military History and other screens under Person Summary in COMPAS APD's site.</li> </ul> <p>§ Charges/Court/Pretrial:</p> <ul style="list-style-type: none"> <li>• current charge information, • bail/bond information, • modified charges, • docket information, • pre-trial release, • failure to appear</li> </ul> <p>§ Operations:</p> <ul style="list-style-type: none"> <li>• batch drug testing,</li> </ul> <p>§ Medical History:</p> <ul style="list-style-type: none"> <li>• medical provider, • insurance information, • treatment history, • substance abuse, • medication information.</li> </ul> <p>§ Accounting:</p> <ul style="list-style-type: none"> <li>• fines &amp; costs, • program/testing fees, • residential inmate accounts</li> </ul> <p>§ Print Packet</p> <p>§ Documents</p> <ul style="list-style-type: none"> <li>- NAVIGATION AND SYSTEM TOOLS</li> <li>- HOME PAGE FEATURES and functionalities</li> <li>- Search Functionality and Features</li> <li>- Administration Modules</li> <li>- Configured NP's HELP functionality. NP should provide the updated HELP content as it gets updated.</li> <li>- NP shall provide notifications to APD when the new releases become available via Northpointe's Development Release Schedule on an annual basis; this schedule is posted to the Northpointe Knowledge Base (<a href="https://courtviewjusticesolutions.zendesk.com/forums">https://courtviewjusticesolutions.zendesk.com/forums</a>) for easy accessibility by APD at any time.</li> <li>- PSI Module</li> <li>- Family Impact Statement</li> </ul> |   |
|  | 2 | Hosting Services for Item #1 above  | Northpointe shall provide up to 3 months of hosting services as necessary if the City's own hosting is not ready for "go live" by the time the new agreement goes into effect.  | \$3,868   |
|  | 3 | Integration - Data Exchange Connections (WebService Interfaces) between Northponte Suite (COMPAS) and APD's New Case Management System (No.1) | <p>Northpointe (NP) shall develop WebService interfaces to allow data exchange between APD's New Case management System (CMS) and Northpointe's COMPAS</p> <ol style="list-style-type: none"> <li>1. NP shall provide standard Web Service (API) to accept standard key offender identifiers from APD's new CMS.</li> <li>2. NP shall build WebService interface to send the data from NP to APD's CMS. This interface will include all the fields that are listed in Assessment Summary, Narrative, Personalized Narrative, Supervision Recommendation screens for COMPAS Core, Women, reentry Assessments and Secondary Assessments (Static 99R, VASOR, TCU- Drug Screen, TCU- Criminal Thinking Scale, COMPAS Case Supervision Review, URICA, Stable 2007, Acute 2007, DVSI, NIJ Mental Health, UNCOPE).</li> </ol>  | \$126,000 (this is estimated value, but it's included in Northpointe Suite) |

|  |   |   |  |           |
|--|---|---|--|-----------|
|  | 4 | <b>Northpointe Suite Support and Maintenance (No. 4)</b>  | <p>Northpointe (NP) shall provide Software support and Maintenance for Northpointe Suite/COMPAS with upgrades in accordance with the Software License Agreement (Contract) Sections 11, 12 and 13 and include the following:</p> <ol style="list-style-type: none"> <li>1. For 150 Perpetual Licenses</li> <li>2. Support for Web Service interfaces (Send and Accept) interfaces between Northpointe Suite/COMPAS and APD's new CMS. This item will be included in Section 13 of the amended Software License Agreement (Contract).</li> </ol> <p>6th year of Maintenance and Support for Northpointe Suite/COMPAS and Web Service Interfaces is \$36,225. The annual increase in each consecutive year shall not exceed 5% of the previous year's fee.</p>   | \$134,033 |
|  | 5 | <b>Product Development (Customizations for the COMPAS software) (No. 12)</b>                        | <ol style="list-style-type: none"> <li>1. Northpointe (NP) shall provide secondary screenings integration with the Case Plan and Presentence Investigation (PSI) functionality for the following: DVSI, Accute 2007, Stable 2007, Community Mental Health, TCU Drug Screen, TCU Criminal Thinking, Static 99R, and VASOR, NIJ Mental, URICA, UNCOPE, COMPAS Case Supervision Review including their summary assessment scores, narratives and comments. Custom secondary screener narratives and layout, e.g. Static 99R example, will require APD to provide NP with the narrative boiler plate, layout and rules for attaching the narrative to the screening instrument's score.</li> <li>2. Northpointe shall provide integration into the PSI template and PSI validation for up to 25 custom fields. APD will group the fields in up to 5 requests over the first 3 years period. The number of fields per request may vary, but will not exceed 25 fields and no more than 5 requests over the first 3 years period. If APD exceeds this then NP will charge APD at the rate of \$200/hr for additional custom fields development not to exceed 15 requested custom fields per request and 16 hours per request to complete.</li> </ol> | \$54,400  |
|  | 6 | <b>COMPAS Reports (No. 13)</b>  | <p>Northpointe (NP) shall provide the reports specified in the list of reports identified in Attachment A hereto as detailed in Dave Wells' email dated 2/24/15 and other standard Ad-Hoc reports. In addition, APD will require Ad-Hoc reports for Acute2007, Stable2007, Static 99R and other Secondary screenings. As the standard reports get updated/added NP shall provide the updated and added reports to APD via standard scheduled COMPAS software releases. NP shall provide assistance to APD in developing 10 COMPAS Adhoc Report Generator data reports over 5 years period.</p>   | \$42,000  |
|  | 7 | <b>Migration of APD's data from Northpointe/COMPAS to APD's new Case Management System (No. 15)</b> | <p>During APD's data migration phase for APD's new CMS, APD, NP, and APD's new CMS vendor will collaborate to develop data extraction specifications. Northpointe shall be responsible for delivering Database (sql) scripts to export all APD's data from COMPAS consistent with the extraction specifications.</p>   | \$40,000  |
|  | 8 | <b>COMPAS Technical Training for APD's IT Staff (No. 16)</b>  | <p>Northpointe (NP) shall provide up to a total of 25 hours of remote technical training with APD's IT staff for IT related topics (system configuration, installation, DB structure, Ad-hoc reporting).</p>   | \$5,000   |

|                                 |    |  |  |           |
|---------------------------------|----|--|--|-----------|
|                                 | 9  | <b>COMPAS Officer Training (No. 17)</b>  | Northpointe (NP) shall provide up to 20 days of on-site trainings:<br>1. Risk/Needs Assessment "New Employee" (min 2 days/8hours per day),<br>2. Risk/Needs "Employee Refresher" (min 1day/8hours per day)<br>3. Women's COMPAS "New Employee" or "Employee Refresher" - 1 day/8hours a day.<br>4. Training For Trainers (T4T) trainings<br>Training and project support will be consolidated where possible to maximize the efficiency of each trip and meet APD's training and projects requirements.  | \$50,000  |
|                                 | 10 | <b>COMPAS Secondary Assessment Training for APD's Staff (No. 18)</b>   | Northpointe (NP) shall provide up to 32 hours of training via WebEx (scheduled from 1.5 to 4 hours per session) on the software navigation and general use of the secondary screenings, their integration with Case Plan and PSI (if required)   | \$6,400   |
|                                 | 11 | <b>COMPAS Training for Trainers (T4T) for APD's Staff (No. 19)</b>   | Northpointe (NP) shall provide up to three standard on-site Training For Trainers (T4T) 3-day COMPAS navigation and use trainings (3 trips). T4T instructions will include NP's lesson plan for training on all COMPAS tools. NP will teach APD T4T staff how to be instructors for these tools. NP will provide the electronic copies of the material with subsequent updates. The T4T training will include, in part, the training on the science and EBP behind the Tool, assessment administration, interpretation, case plan development and software navigation. APD's goal is for NP to conduct certification training for APD designated staff to become certified instructors on Northpointe Suite. NP shall issue certification certificates upon successful completion of the training. | \$22,500  |
| <b>Northpointe New Products</b> |    |  |  |           |
|                                 | 12 | <b>Northpointe COMPAS Offline Annual License (The offline feature for the Northpointe Suite is a restricted subset of the full Northpointe Suite application that allows for creating and updating data for existing offenders in environments where network access is not available.) (No. 5)</b> | Northpointe (NP) shall provide COMPAS Offline Annual License for 150 users for five years.<br>Northpointe COMPAS Offline 6th year license \$33,850 (Includes maintenance) for minimum of 150 users. The annual increase in each consecutive year shall not exceed 5% of the previous year's fee.   | \$169,250 |

|                     |    |   |   |             |
|---------------------|----|---|---|-------------|
|                     | 13 | Northpointe COMPAS SyncShare Annual License, 1 Exchange (SyncShare is a new Northpointe tool that gives Northpointe Suite users the ability to access person data from outside COMPAS and non-COMPAS agencies. ) (No.6) | Northpointe (NP) shall provide SyncShare Annual License, 1 Agency Exchange, for five years.<br>Northpointe COMPAS SyncShare 6th year license \$29,250 (Includes maintenance). The annual increase in each consecutive year shall not exceed 5% of the previous year's fee.  | \$146,250   |
|                     | 14 | Technical, Consulting and Training Services, for new Products (COMPAS Offline and SyncShare) (No.9)   | Northpointe (NP) shall provide Technical, Consulting and Training Services to include:<br>1. SyncShare Admin training - set-up, configuration support of the NP SyncShare software up to 6 hours via Webex<br>2. SyncShare Training for Trainers (T4T) end user training up to 4 hours via Webex<br>3. COMPAS Offline (Northpointe Suite Offline) Training - System Admin Installation training, set-up and support up to 8 hours via Webex<br>4. COMPAS Offline T4T end user training up to 4 hours via Webex<br>5. COMPAS Offline (Northpointe Suite Offline) and SyncShare installation on APD server, with acceptance by APD (NP and APD need to agree on definition of acceptance); APD IT will install software on laptops/tablets.   | \$12,400    |
| Globally Applicable |    |   |   |             |
|                     | 15 | Technical and Consulting Services (No.9)  | Northpointe (NP) shall provide up to 160 hours of on-site or remote software customization services (e.g., design, technical meetings, implementation) over 5 years, as determined by APD Project Manager   | \$32,000    |
|                     | 16 | Travel - 12 trips (No. 14)  | Northpointe (NP) shall provide up to 12 on-site trips to support the following:<br>1. Risk/Needs Assessment "New Employee" (min 2 days/8hours per day),<br>2. Risk/Needs "Employee Refresher" (min 1day/8hours per day)<br>3. Women's COMPAS "New Employee" or "Employee Refresher" - 1 day/8hours a day.<br>4. Training For Trainers (T4T) training<br>5. General project support, e.g. technical and project support meetings<br><br>Training and project support will be consolidated where possible to maximize the efficiency of each trip. All travel requires a minimum 3 weeks notice. In case APD requires additional trips after 12th trip, any travel expenses (airfare, lodging, meals and automobile expenses) are to be pre-approved by the City prior to NP's travel to allow reimbursement by the City. | \$58,000    |
| Total               |    |   |   | \$1,232,101 |



## TERMINATION OF THIRD PARTY BENEFICIARY CONTRACT

This Termination Document and Full and Final Release ("Termination Document") is by and between Northpointe, Inc. ("Contractor") and Homeland Justice Systems, Inc. ("Sub-Contractor") for the benefit of the City and County of San Francisco ("City") (collectively "Parties"), as of ~~May XX~~ <sup>July 8</sup>, 2015 ("Effective Date").

### RECITALS

**WHEREAS**, on or about March 7, 2011, the City and Contractor entered into a Software License and Services Agreement, including all Appendices thereto ("Prime Contract Agreement"), under which Contractor agreed, *inter alia*, to develop and deliver a Case Management System ("CMS") to the City;

**WHEREAS**, between March 7, 2011, and January 14, 2013, Contractor failed to deliver a CMS to the City;

**WHEREAS**, on or about January 14, 2013, City authorized Contractor to enter into a Software License and Maintenance Agreement with Homeland Justice Systems, Inc. ("Sub-Contractor") for the benefit of the City ("Third-Party Beneficiary Contract"), under which Sub-Contractor undertook to deliver the CMS;

**WHEREAS**, to date no CMS has been delivered to the City and as a result the Parties wish (1) to terminate the Third-Party Beneficiary Contract for convenience, at no cost to the City, including (2) an express written waiver and release of all claims by Contractor and Sub-Contractor against the City under the Third-Party Beneficiary Contract, and (3) written authorization by Contractor and Sub-Contractor for the City to copy, use, grant access to, and/or share with any future City CMS vendor any and all CMS screenshots, requirements, and/or requirements-related documents developed to date, pursuant to Section 5.b of the Third-Party Beneficiary Contract.

**NOW, THEREFORE**, the Parties agree as follows:

### TERMS OF AGREEMENT

1. **Termination of Third-Party Beneficiary Contract for Convenience:** Each Party understands, agrees, and intends for this Termination Document to terminate the Third-Party Beneficiary Contract for the convenience of the Parties, at no cost to the City.

a. **Governing Provisions:** Pursuant to Section 23 of the Third-Party Beneficiary Contract, each Party understands and agrees that termination of the Third-Party Beneficiary Contract "shall be governed by the 'Termination' provisions of the Prime Contract Agreement ('Section 14')".

b. **Waiver of Thirty-Day Notice:** Contractor and Sub-Contractor each expressly waives the requirement under Section 14.b of the Prime Contract Agreement that Termination for Convenience be made on "thirty (30) days written notice. . . ." Rather, Contractor and Sub-Contractor each understands and agrees that Termination for Convenience of the Third-Party Beneficiary Contract shall be effective as of the date set forth above upon full execution of this Termination Document.

c. **Waiver of Compensation:** Contractor and Sub-Contractor each further expressly waives the requirement under Section 14.b of the Prime Contract Agreement that, "In the event of such termination, Contractor will be paid for those services performed, equipment ordered, and costs incurred . . . up to the date of termination." Rather, Contractor and Subcontractor each understands and agrees that Termination for Convenience of the Third-Party Beneficiary Contract shall be at no cost to the City of any kind.



2. **Full and Final Release of Claims by Contractor and Sub-Contractor:**

Contractor and Sub-Contractor each agrees to fully and forever release and discharge the City, together with its elective and/or appointive boards, agents, servants, employees, consultants, departments, commissioners, attorneys, officers and agents from all actions, causes of action, damages and claims arising out of or related to the Third-Party Beneficiary Contract.

a. **Civ. Code § 1542 Waiver:** The Contractor and Sub-Contractor each certifies that it has read Section 1542 of the California Civil Code, which provides:

“A general release does not extend to claims which the creditor does not know or suspect to exist in his or her favor at the time of executing the release, which if known by him or her must have materially affected his or her settlement with the debtor.”

As to the matters released in this Termination Document, the Contractor and Subcontractor each specifically waives any benefit or right under California Civil Code Section 1542 and each assumes all risks of claims, known or unknown, heretofore or hereafter, arising from this waiver.

b. **Indemnity:** Contractor and Sub-Contractor shall indemnify, hold harmless and defend City, its boards and commissions, and all of its officers, agents, members, employees, authorized representatives, assignees and transferees from any and all claims, demands, actions, causes of action, obligations, costs, expenses, damages, losses and/or liabilities that may be asserted against the City by any other third party, for any and all services, labor, materials, supplies and/or equipment used, or contemplated, to be used in the performance of work under the Third-Party Beneficiary Contract.

3. **Release of Restriction on Use:** Contractor and Sub-Contractor each expressly authorizes the City to copy, use, grant access to, and/or share with any future City CMS vendor any and all CMS screenshots, requirements, and/or requirements-related documents developed to date, pursuant to Section 5.b. of the Third-Party Beneficiary Contract.

### **REPRESENTATIONS**

4. **No Assignment:** Each Party represents that it has not assigned or transferred, or agreed to assign or transfer, or attempted to assign or transfer, to any third party or entity (including without limitation any insurer) any interest in the matters being settled herein.

5. **Entire Termination Document:** Each Party acknowledges that this Termination Document contains and constitutes the entire agreement between the Parties regarding termination of the Third-Party Beneficiary Contract.

6. **Headings:** The terms of this Termination Document are contractual and not a mere recital. The headings are for convenience only and do not limit or alter the described paragraphs in any manner.

7. **Representation by Counsel:** Each Party affirms and acknowledges that it has read and fully appreciates and understands the words, terms, conditions and provisions of this Termination Document, is fully and entirely satisfied with the same, has been represented by legal counsel of its choice in the negotiation, preparation and execution of this Termination Document, has conferred with its counsel prior to the execution of this Termination Document and has executed this Termination Document voluntarily and of its own free will and act. Each of the Parties, by its execution of this Termination Document, further represents that it has reviewed each term of this Termination Document with its legal counsel, and that hereafter shall not deny the validity of this Termination Document on the ground that it did not have full and adequate legal counsel.

8. **No Admission of Liability:** No aspect of this Termination Document or the settlement which led to it is intended to be nor at any time shall be construed, deemed, or treated in any respect as an admission by any of the Parties of liability for any purpose.

9. **Severability:** If any of the provisions of this Termination Document or the application thereof is held to be invalid, its invalidity shall not affect any other provision or application of this Termination Document to the extent that such other provision or application can be given effect without the invalid provision or application, and to this end, the provisions of this Termination Document are declared and understood to be severable.

10. **Attorneys's Fees and Costs:** Each Party shall bear its own legal expenses and costs incurred in connection with this Termination Document.

11. **Fully Negotiated:** Each Party represents and warrants that this Termination Document and the settlement which led to it have been fully negotiated with the assistance of counsel and should not be construed more strictly against one party than another.

12. **Authority to Execute and Bind:** Each Party represents and warrants that each of the persons executing this Termination Document on its behalf has full and complete legal authority to do so and thereby bind the Party on behalf of which this Termination Document is executed.

13. **Choice of Law:** This Termination Document shall be construed and enforced in accordance with the laws of the State of California.

14. **Counterparts:** This Termination Document may be signed in counterparts. Emailed signatures shall be deemed to be original signatures.

**IT IS SO AGREED:**

July May 7, 2015

CITY AND COUNTY OF SAN FRANCISCO

By:

Its:

Karen L. Fletcher

Karen Fletcher, Chief Administrative Probation Officer

July May 1, 2015

NORTHPOINTE, INC.

By:

Its:

[Signature]

General Manager

May 31, 2015

HOMELAND JUSTICE SYSTEMS, INC.

By:

Its:

[Signature]

CEO

Approved as to Form

May 31, 2015

July 8, 2015

CITY AND COUNTY OF SAN FRANCISCO

By:

LOUISE S. SIMPSON

Deputy City Attorney

Attorneys for CITY AND COUNTY OF SAN FRANCISCO

July 1  
~~May~~ \_\_, 2015

TRAPEZE SOFTWARE GROUP INC.

By: \_\_\_\_\_

SANDRA MCFARLAND  
Senior Counsel,  
Attorneys for Northpointe, Inc.

May \_\_, 2015

By: \_\_\_\_\_

Counsel,  
Attorneys for Homeland Justice Systems, Inc.

END OF DOCUMENT

## **Fudym, Bella (ADP)**

---

**From:** Fudym, Bella (ADP)  
**Sent:** Monday, July 06, 2015 2:30 PM  
**To:** 'jatalla@HomelandJustice.com'  
**Cc:** Jackson, Sharon (ADP); Simpson, Louise (CAT) (louise.simpson@sfgov.org)  
**Subject:** Termination Document

Hi Joe,

Today, I received the hard-copy with your original signature on the Termination Document for the Third Party Beneficiary Agreement.

However, this document does not include an approval by counsel on your behalf.

This confirms the City's understanding that Homeland Justice Systems (HJS) is not represented by counsel, and therefore that no legal counsel will be approving the Termination Document on HJS' behalf.

Nonetheless, by executing the agreement, you acknowledge your full understanding and agreement to all of the terms and conditions of the Termination Document.

**If this is incorrect please advise immediately.**

Thank you very much for your cooperation and consideration in this regard.

Bella

---

Bella Fudym

IT Project Director  
Adult Probation Department  
City & County of San Francisco

415-558-2421 (office)  
[bella.fudym@sfgov.org](mailto:bella.fudym@sfgov.org)

Hall of Justice  
850 Bryant St., Room 200  
San Francisco, CA 94103

**CONFIDENTIALITY NOTICE:** This communication with its contents may contain confidential and/or legally privileged information. It is solely for the use of the intended recipient(s). Unauthorized interception, review, use or disclosure is prohibited and may violate applicable laws including the Electronic Communications Privacy Act. If you are not the intended recipient, please contact the sender and destroy all copies of the communication.

[Settlement of Unlitigated Claim - Northpointe, Inc. - City to Receive \$1,232,101 in Services]

Resolution approving settlement of the unlitigated claim in favor of the City and County of San Francisco against Northpointe, Inc., for delivery of approximately \$1,232,101 in deliverables under the parties' existing Software License and Services Agreement, and an amendment and extension of that agreement.

WHEREAS, in March 2011, the City and software developer Northpointe, Inc., ("Northpointe") entered into a Software License and Services Agreement ("Prime Contract Agreement"), under which Northpointe agreed to develop and deliver a Case Management System ("CMS") to the City for use by the Adult Probation Department ("APD"); and

WHEREAS, Between March 2011 and June 2015, Northpointe attempted, but failed to deliver a CMS to the City; and

WHEREAS, Northpointe has agreed to the settlement of this matter, on the following terms:

- (a) The parties will amend the Prime Contract Agreement to delete the CMS, including all related terms and work, in its entirety, from the Prime Contract Agreement;
- (b) The parties will amend the Prime Contract Agreement to add delivery by Northpointe to the City of Alternative Deliverables, valued at \$1,232,101, and to extend the term by five years from the effective date of the Amendment;
- (c) Northpointe and its CMS Subcontractor will provide an express written waiver and release of all claims against the City; and
- (d) Northpointe and its CMS Subcontractor will provide written authorization for the City to copy, use, grant access to, and/or share with any future City CMS vendor

any and all CMS screenshots, requirements, and/or requirements-related documents developed to date; and

WHEREAS, Northpointe and the City agree that each should bear its own costs and fees; and

WHEREAS, APD recommends the settlement; now, therefore, be it

RESOLVED, That pursuant to Administrative Code, Section 10.24, the Board of Supervisors hereby authorizes the City Attorney to settle and compromise the claim by the City against Northpointe, Inc., as described herein.

1 APPROVED:

2 DENNIS J. HERRERA  
3 City Attorney

4 Elaine O'Neil  
5 ELAINE O'NEIL  
6 Deputy City Attorney  
7 Construction and Public Contracting Team  
8 Leader

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City Attorney  
BOARD OF SUPERVISORS

RECOMMENDED:

SAN FRANCISCO ADULT PROBATION  
DEPARTMENT

Karen L. Fletcher  
KAREN L. FLETCHER  
Chief Adult Probation Officer  
CITY AND COUNTY OF SAN FRANCISCO

Page 3



City and County of San Francisco

Tails

Resolution

City Hall  
1 Dr. Carlton B. Goodlett Place  
San Francisco, CA 94102-4689

File Number: 150636

Date Passed: July 21, 2015

Resolution approving settlement of the unlitigated claim in favor of the City and County of San Francisco against Northpointe, Inc., for delivery of approximately \$1,232,101 in deliverables under the parties' existing Software License and Services Agreement, and an amendment and extension of that agreement.

July 09, 2015 Government Audit and Oversight Committee - RECOMMENDED..

July 21, 2015 Board of Supervisors - ADOPTED

Ayes: 10 - Avalos, Breed, Christensen, Cohen, Farrell, Kim, Mar, Tang, Wiener  
and Yee  
Excused: 1 - Campos

File No. 150636

I hereby certify that the foregoing  
Resolution was ADOPTED on 7/21/2015 by  
the Board of Supervisors of the City and  
County of San Francisco.

Angela Calvillo  
Angela Calvillo  
Clerk of the Board

[Signature]  
Mayor

7/30/15  
Date Approved



Attachment A  
Dave Wells email dated 2/24/2015



## Attachment A – List of reports from Dave Wells email dated 2/24/2015

### Ad Hoc Standard Reports

#### Risk/Needs/Case Planning Modules

**Statistical Report:** Useful in determining the percentage of high risk offenders with drug problems who are amenable to treatment.

| Report Summary |   | Create    | Actions             |
|----------------|---|-----------|---------------------|
| Name:          | High Risk, High Substance Abuse Need, Motivated for Drug Treatment?   | Type:     | Statistical Summary |
| Created:       | 12/22/2014 1:50 PM  | Modified: |                     |
| Elements:      | Assessments   |           |                     |
| Description:   | Useful in determining the percentage of high risk offenders with drug problems who are amenable to treatment. |           |                     |

| Conditions   |  | Create | Actions |
|--|--|--------|---------|
| Condition  |  |        | Delete  |
| Core Overall Risk Scores General Recidivism Risk Score Equal To High                 |  |        |         |
| And ( Core Criminogenic Need Scores Substance Abuse Score Equal To Highly Probable ) |  |        |         |

| Content   |  | Actions |
|---|--|---------|
| Content   |  | Delete  |
| Core Substance Abuse Assessment Answers: CC WANT RX D |  |         |

**Roster Report:** Useful for triage in making drug treatment referrals.

| Report Summary |   | Create    | Actions |
|----------------|---|-----------|---------|
| Name:          | High Risk, High Substance Abuse Need and Motivated for Drug Treatment | Type:     | Roster  |
| Created:       | 12/22/2014 1:35 PM  | Modified: |         |
| Elements:      | Person Summary, Assessments   |           |         |
| Description:   | Useful for triage in substance abuse treatment referral.              |           |         |

| Conditions  |  | Create | Actions |
|---|--|--------|---------|
| Condition   |  |        | Delete  |
| Core Overall Risk Scores General Recidivism Risk Score Equal To High  |  |        |         |
| And ( Core Criminogenic Need Scores Substance Abuse Score Equal To Highly Probable )  |  |        |         |
| And ( Core Substance Abuse Assessment Answers Do you think you would benefit from getting treatment for drugs? Equal To Yes ) |  |        |         |

| Content                 |  | Actions |
|-------------------------|--|---------|
| Content                 |  | Delete  |
| Offenders: Last Name    |  |         |
| Offenders: First Name   |  |         |
| Offenders: Date Created |  |         |



## Attachment A – List of reports from Dave Wells email dated 2/24/2015

**Statistical Report:** Useful in determining the percentage of high risk offenders with substance abuse problems who are amenable to alcohol treatment.

| Report Summary   |  | Create    | Actions             |
|--|--|-----------|---------------------|
| Name:  | High Risk, High Substance Abuse Need, Motivated for Alcohol Treatment?   | Type:     | Statistical Summary |
| Created:   | 12/22/2014 1:57 PM   | Modified: |                     |
| Elements:  | Assessments  |           |                     |
| Description:   | Useful in determining the percentage of high risk offenders with substance abuse problems who are amenable to alcohol treatment. |           |                     |
| Conditions   |  | Create    | Actions             |
| Condition  |  |           |                     |
| Core Overall Risk Scores General Recidivism Risk Score Equal To High                 |  |           | Delete              |
| And ( Core Criminogenic Need Scores Substance Abuse Score Equal To Highly Probable ) |  |           | Delete              |
| Content  |  | Actions   |                     |
| Content  |  |           |                     |
| Core Substance Abuse Assessment Answers: CC WANT RX A                                |  |           | Delete              |

**Roster Report:**

Useful for triage in referrals to high-intensity alcohol treatment.

| Report Summary  |  | Create    | Actions |
|---|--|-----------|---------|
| Name:   | High Risk, High Substance Abuse Need and Motivated for Alcohol Treatment | Type:     | Roster  |
| Created:  | 12/22/2014 1:43 PM   | Modified: |         |
| Elements:   | Person Summary, Assessments  |           |         |
| Description:  | Useful for triage in referrals to high-intensity alcohol treatment.      |           |         |
| Conditions  |  | Create    | Actions |
| Condition   |  |           |         |
| Core Overall Risk Scores General Recidivism Risk Score Equal To High  |  |           | Delete  |
| And ( Core Criminogenic Need Scores Substance Abuse Score Equal To Highly Probable )  |  |           | Delete  |
| And ( Core Substance Abuse Assessment Answers Do you think you would benefit from getting treatment for alcohol? Equal To Yes ) |  |           | Delete  |
| Content   |  | Actions   |         |
| Content   |  |           |         |
| Offenders: Last Name  |  |           | Delete  |
| Offenders: First Name   |  |           | Delete  |
| Offenders: Date Created   |  |           | Delete  |

**Statistical Report:** Useful in understanding the degree to which dual diagnosis treatment is required

| Report Summary   |   | Create    | Actions             |
|--|---|-----------|---------------------|
| Name:  | Percentage of Substance Abusers with a Mental Health Issue                        | Type:     | Statistical Summary |
| Created:   | 12/22/2014 2:27 PM  | Modified: |                     |
| Elements:  | Assessments, Screenings   |           |                     |
| Description:   | Useful in understanding the degree to which dual diagnosis treatment is required. |           |                     |
| Conditions   |   | Create    | Actions             |
| Condition  |   |           |                     |
| Core Criminogenic Need Scores Substance Abuse Score Equal To Highly Probable |   |           | Delete              |
| Content  |   | Actions   |                     |
| Content  |   |           |                     |
| Correctional Mental Health Screenings: Correctional Mental Health Score      |   |           | Delete              |

## Attachment A – List of reports from Dave Wells email dated 2/24/2015

Roster Report: Useful in identifying offenders in need of dual diagnosis services

| Report Summary Create Actions |  |           |                    |
|-------------------------------|--|-----------|--------------------|
| Name:                         | Dual Diagnosis: Drug and Mental Health Issues                      | Type:     | Roster             |
| Created:                      | 12/22/2014 2:18 PM   | Modified: | 12/22/2014 2:19 PM |
| Elements:                     | Person Summary, Assessments, Screenings                            |           |                    |
| Description:                  | Useful in identifying offenders in need of dual diagnosis services |           |                    |

| Conditions Create Actions  |        |
|--|--------|
| Condition  | Delete |
| Correctional Mental Health Screenings Correctional Mental Health Score Equal To Refer for further Mental Health Evaluation |        |
| And ( Core Criminogenic Need Scores Substance Abuse Score Equal To Highly Probable )                                       |        |

| Content Actions       |        |
|-----------------------|--------|
| Content               | Delete |
| Offenders: Last Name  |        |
| Offenders: First Name |        |

Statistical Report: Useful in determining capacity to treat a high risk population with cognitive treatment needs.

| Report Summary Create Actions |  |           |                     |
|-------------------------------|--|-----------|---------------------|
| Name:                         | Percentage of High Risk Offenders with Cognitive Treatment Needs                               | Type:     | Statistical Summary |
| Created:                      | 12/22/2014 2:38 PM   | Modified: | 12/22/2014 2:42 PM  |
| Elements:                     | Assessments  |           |                     |
| Description:                  | Useful in determining capacity to treat a high risk population with cognitive treatment needs. |           |                     |

| Conditions Create Actions  |        |
|--|--------|
| Condition  | Delete |
| Core Overall Risk Scores General Recidivism Risk Score Equal To High |        |

| Content Actions   |        |
|---|--------|
| Content   | Delete |
| Core Criminogenic Need Scores: Cognitive Behavioral Score |        |

Roster Report: Useful in determining appropriate referrals to cognitive/behavioral treatment.

| Report Summary Create Actions |  |           |        |
|-------------------------------|--|-----------|--------|
| Name:                         | High Risk Offenders with a Cognitive Need.                                     | Type:     | Roster |
| Created:                      | 12/22/2014 2:45 PM   | Modified: |        |
| Elements:                     | Person Summary, Assessments  |           |        |
| Description:                  | Useful in determining appropriate referrals to cognitive/behavioral treatment. |           |        |

| Conditions Create Actions   |        |
|---|--------|
| Condition   | Delete |
| Core Overall Risk Scores General Recidivism Risk Score Equal To High                      |        |
| And ( Core Criminogenic Need Scores Cognitive Behavioral Score Equal To Highly Probable ) |        |

## Attachment A – List of reports from Dave Wells email dated 2/24/2015

**Statistical Report:** Useful in determining the percentage of high risk offenders who also score high on the Static-99R.

| Report Summary Create Actions  |  |           |                     |
|--|--|-----------|---------------------|
| Name:  | High Risk, High Sex Offender Treatment Need  | Type:     | Statistical Summary |
| Created:   | 12/22/2014 2:52 PM   | Modified: | 12/22/2014 2:55 PM  |
| Elements:  | Assessments, Screenings  |           |                     |
| Description:   | Useful in determining the percentage of high risk offenders who also score high on the Static-99R. |           |                     |
| Conditions Create Actions  |  |           |                     |
| Condition  |  |           |                     |
| Core Overall Risk Scores General Recidivism Risk Score Equal To High |  |           |                     |
| Content Actions  |  |           |                     |
| Content  |  |           |                     |
| Static-99 R Screenings: Static-99 R Score                            |  |           |                     |

**Roster Report:** Useful in identifying those offenders in greatest need of sex offender treatment.

| Report Summary Create Actions  |   |           |        |
|--|---|-----------|--------|
| Name:  | High Risk/High Sex Offender Need  | Type:     | Roster |
| Created:   | 12/22/2014 2:57 PM  | Modified: |        |
| Elements:  | Person Summary, Assessments, Screenings   |           |        |
| Description:   | Useful in identifying those offenders in greatest need of sex offender treatment. |           |        |
| Conditions Create Actions  |   |           |        |
| Condition  |   |           |        |
| Core Overall Risk Scores General Recidivism Risk Score Equal To High |   |           |        |
| And ( Static-99R Screenings Static-99R Score Equal To High )         |   |           |        |
| Content Actions  |   |           |        |
| Content  |   |           |        |
| Offenders: Last Name   |   |           |        |
| Offenders: Full Name   |   |           |        |

**Statistical Report:** Useful in understanding treatment capacity needed for anger management programming.

| Report Summary Create Actions  |   |           |                     |
|--|---|-----------|---------------------|
| Name:  | Percentage of High Violent Risk Population in Need of Anger Management Intervention | Type:     | Statistical Summary |
| Created:   | 12/22/2014 3:08 PM  | Modified: |                     |
| Elements:  | Assessments   |           |                     |
| Description:   | Useful in understanding treatment capacity needed for anger management programming. |           |                     |
| Conditions Create Actions  |   |           |                     |
| Condition  |   |           |                     |
| Core Overall Risk Scores Violent Recidivism Risk Score Equal To High |   |           |                     |
| Content Actions  |   |           |                     |
| Content  |   |           |                     |
| Core Criminogenic Need Scores: Anger Score                           |   |           |                     |



## Attachment A – List of reports from Dave Wells email dated 2/24/2015

Roster Report: Useful in identifying violence-prone individuals for anger management intervention.

| Report Summary |   | Create    | Actions |
|----------------|---|-----------|---------|
| Name:          | High Violence Risk Offenders in Need of Anger Management Intervention | Type:     | Roster  |
| Created:       | 12/22/2014 3:13 PM  | Modified: |         |
| Elements:      | Person Summary, Assessments   |           |         |
| Description:   |   |           |         |

| Conditions   |  | Create | Actions |
|--|--|--------|---------|
| Condition  |  |        | Delete  |
| Core Overall Risk Scores Violent Recidivism Risk Score Equal To High       |  |        |         |
| And ( Core Criminogenic Need Scores Anger Score Equal To Highly Probable ) |  |        |         |

| Content               |  | Actions |
|-----------------------|--|---------|
| Content               |  | Delete  |
| Offenders: Last Name  |  |         |
| Offenders: First Name |  |         |

Statistical Report: Useful in determining the percentage of the population with housing insecurity/homelessness.

| Report Summary |  | Create    | Actions             |
|----------------|--|-----------|---------------------|
| Name:          | Percentage of Population with Stable vs. Unstable Housing                                    | Type:     | Statistical Summary |
| Created:       | 12/23/2014 10:17 AM  | Modified: | 12/23/2014 10:21 AM |
| Elements:      | Assessments  |           |                     |
| Description:   | Useful in determining the percentage of the population with housing insecurity/homelessness. |           |                     |

| Conditions          |  | Create | Actions |
|---------------------|--|--------|---------|
| No conditions found |  |        |         |

| Content   |  | Actions |
|---|--|---------|
| Content   |  | Delete  |
| Core Residential Instability Assessment Answers: CC L DRIFT |  |         |

Roster Report: Useful in identifying those offenders without stable housing.

| Report Summary |  | Create    | Actions            |
|----------------|--|-----------|--------------------|
| Name:          | Homeless Offenders   | Type:     | Roster             |
| Created:       | 12/22/2014 3:18 PM   | Modified: | 12/22/2014 3:19 PM |
| Elements:      | Person Summary, Assessments                                  |           |                    |
| Description:   | Useful in identifying those offender without stable housing. |           |                    |

| Conditions   |  | Create | Actions |
|--|--|--------|---------|
| Condition  |  |        | Delete  |
| Core Residential Instability Assessment Answers Do you have a regular living situation an address where you usually stay and can be reached? Equal To No |  |        |         |

| Content               |  | Actions |
|-----------------------|--|---------|
| Content               |  | Delete  |
| Offenders: Last Name  |  |         |
| Offenders: First Name |  |         |

## Attachment A – List of reports from Dave Wells email dated 2/24/2015

**Statistical Report:** Useful in determining the percentage of offenders with limited or no recent job history.

| Report Summary Create Actions                                   |  |           |                     |
|---|--|-----------|---------------------|
| Name:   | Employment History Past 12 Months  | Type:     | Statistical Summary |
| Created:  | 12/23/2014 9:44 AM   | Modified: | 12/23/2014 9:47 AM  |
| Elements:   | Assessments  |           |                     |
| Description:  | Useful in determining the percentage of offenders with limited or no recent job history. |           |                     |
| Conditions Create Actions                                       |  |           |                     |
| No conditions found   |  |           |                     |
| Content Actions   |  |           |                     |
| Content   |  |           |                     |
| Core Vocational/ Education Assessment Answers: CC JOB LAST YEAR |  |           |                     |

**Roster Report:** Useful in identifying those who are unemployed and have a recent history of unemployment.

| Report Summary Create Actions                                   |   |           |                    |
|---|---|-----------|--------------------|
| Name:   | Offender Population by Job History (Past 12 Months) and Current Employment Status         | Type:     | Roster             |
| Created:  | 12/23/2014 9:50 AM  | Modified: | 12/23/2014 9:57 AM |
| Elements:   | Person Summary, Assessments   |           |                    |
| Description:  | Useful in identifying those who are unemployed and have a recent history of unemployment. |           |                    |
| Conditions Create Actions                                       |   |           |                    |
| No conditions found   |   |           |                    |
| Content Actions   |   |           |                    |
| Content   |   |           |                    |
| Offenders: Last Name  |   |           |                    |
| Offenders: First Name   |   |           |                    |
| Core Vocational/ Education Assessment Answers: CC JOB LAST YEAR |   |           |                    |
| Core Vocational/ Education Assessment Answers: CC JOB           |   |           |                    |

**Statistical Report:** Useful for viewing offender population by educational attainment.

| Report Summary Create Actions                               |   |           |                     |
|---|---|-----------|---------------------|
| Name:   | Offender Education Profile  | Type:     | Statistical Summary |
| Created:  | 12/23/2014 10:03 AM   | Modified: |                     |
| Elements:   | Assessments   |           |                     |
| Description:  | Useful for viewing offender population by educational attainment. |           |                     |
| Conditions Create Actions                                   |   |           |                     |
| No conditions found   |   |           |                     |
| Content Actions   |   |           |                     |
| Content   |   |           |                     |
| Core Vocational/ Education Assessment Answers: CC HIGHGRADE |   |           |                     |

## Attachment A – List of reports from Dave Wells email dated 2/24/2015

Roster Report: Useful in identifying those in need of educational services.

|   |  |           |                     |
|---|--|-----------|---------------------|
| <b>Report Summary</b>   Create   Actions ▾                    |  |           |                     |
| Name:   | Population by Educational Level                              | Type:     | Roster              |
| Created:  | 12/23/2014 10:07 AM  | Modified: | 12/23/2014 10:08 AM |
| Elements:   | Assessments, Person Summary                                  |           |                     |
| Description:  | Useful in identifying those in need of educational services. |           |                     |
| <b>Conditions</b>   Create   Actions ▾                        |  |           |                     |
| No conditions found   |  |           |                     |
| <b>Content</b>   Actions ▾                                    |  |           |                     |
| Content   |  |           |                     |
| Delete  |  |           |                     |
| Offenders: Last Name  |  |           |                     |
| Offenders: First Name   |  |           |                     |
| Core Vocational/ Education Assessment Answers: CC HIGH SCHOOL |  |           |                     |
| Core Vocational/ Education Assessment Answers: CC HIGHGRADE   |  |           |                     |

Statistical Report: Useful for viewing the population by percentage of each supervision level recommended by the risk assessment.

|  |   |           |                     |
|--|---|-----------|---------------------|
| <b>Report Summary</b>   Create   Actions ▾ |   |           |                     |
| Name:                                      | Supervision Level Recommended by Risk Level   | Type:     | Statistical Summary |
| Created:                                   | 12/23/2014 10:48 AM   | Modified: | 12/23/2014 11:50 AM |
| Elements:                                  | Assessments   |           |                     |
| Description:                               | Useful for viewing the population by percentage of each supervision level recommended by the risk assessment. |           |                     |
| <b>Conditions</b>   Create   Actions ▾     |   |           |                     |
| No conditions found                        |   |           |                     |
| <b>Content</b>   Actions ▾                 |   |           |                     |
| Content                                    |   |           |                     |
| Delete                                     |   |           |                     |
| Assessments: Recommended Supervision Level |   |           |                     |

Statistical Report: Useful for viewing the population by percentage of each supervision level approved.

|  |   |           |                     |
|--|---|-----------|---------------------|
| <b>Report Summary</b>   Create   Actions ▾     |   |           |                     |
| Name:  | Actual Supervision Level Approved   | Type:     | Statistical Summary |
| Created:                                       | 12/23/2014 11:24 AM   | Modified: | 12/23/2014 11:52 AM |
| Elements:                                      | Assessments   |           |                     |
| Description:                                   | Useful for viewing the population by percentage of each supervision level approved. |           |                     |
| <b>Conditions</b>   Create   Actions ▾         |   |           |                     |
| No conditions found                            |   |           |                     |
| <b>Content</b>   Actions ▾                     |   |           |                     |
| Content  |   |           |                     |
| Delete   |   |           |                     |
| Assessments: Actual Supervision Level Override |   |           |                     |



## Attachment A – List of reports from Dave Wells email dated 2/24/2015

**Statistical Report:** Useful in comparing the supervision level recommended by the risk assessment with the actual supervision level approved.

| Report Summary Create Actions |  |           |                     |
|-------------------------------|--|-----------|---------------------|
| Name:                         | Recommended Supervision Level vs. Actual Supervision Level   | Type:     | Statistical Summary |
| Created:                      | 12/23/2014 11:39 AM  | Modified: | 12/23/2014 11:42 AM |
| Elements:                     | Assessments  |           |                     |
| Description:                  | Useful in comparing the supervision level recommended by the risk assessment with the actual supervision level approved. |           |                     |

| Conditions Create Actions |  |
|---------------------------|--|
| No conditions found       |  |

| Content Actions                                |        |
|--|--------|
| Content:                                       | Delete |
| Assessments: Recommended Supervision Level     |        |
| Assessments: Actual Supervision Level Override |        |

**Roster Report:** Useful in identifying cases in which the supervision level was over-ridden, and the over-ride reason

| Report Summary Create Actions |   |           |                     |
|-------------------------------|---|-----------|---------------------|
| Name:                         | Population by Assessment-Recommended, Officer-Recommended and Approved Supervision Level              | Type:     | Roster              |
| Created:                      | 12/23/2014 11:27 AM   | Modified: | 12/23/2014 11:27 AM |
| Elements:                     | Assessments, Person Summary   |           |                     |
| Description:                  | Useful in identifying cases in which the supervision level was over-ridden, and the over-ride reason. |           |                     |

| Conditions Create Actions |  |
|---------------------------|--|
| No conditions found       |  |

| Content Actions                                  |        |
|--|--------|
| Content:   | Delete |
| Offenders: Last Name                             |        |
| Offenders: First Name                            |        |
| Assessments: Screener Name                       |        |
| Assessments: Case Number                         |        |
| Assessments: Screening Date                      |        |
| Assessments: Recommended Supervision Level       |        |
| Assessments: Screener Supervision Level Override |        |
| Assessments: Screener Override Reason            |        |
| Assessments: Actual Supervision Level Override   |        |
| Assessments: Actual Override Reason              |        |

**Statistical Report:** Useful in equitably distributing the workload.

| Report Summary Create Actions |   |           |                     |
|-------------------------------|---|-----------|---------------------|
| Name:                         | Number and Percentage of Assessments Completed Per User | Type:     | Statistical Summary |
| Created:                      | 12/23/2014 12:30 PM                                     | Modified: | 12/23/2014 12:32 PM |
| Elements:                     | Assessments   |           |                     |
| Description:                  | Useful in equitably distributing the workload.          |           |                     |

| Conditions Create Actions |  |
|---------------------------|--|
| No conditions found       |  |

| Content Actions            |        |
|----------------------------|--------|
| Content:                   | Delete |
| Assessments: Screener Name |        |



## Attachment A – List of reports from Dave Wells email dated 2/24/2015

**Roster Report:** Useful in determining the types of assessments each User is conducting per supervision level.

| Report Summary Create Actions                  |   |           |                    |
|--|---|-----------|--------------------|
| Name:  | Assessments Completed Per User by Assessment Type and Supervision Level                       | Type:     | Roster             |
| Created:                                       | 12/23/2014 12:39 PM   | Modified: | 12/23/2014 1:33 PM |
| Elements:                                      | Assessments   |           |                    |
| Description:                                   | Useful in determining the types of assessments each User is conducting per supervision level. |           |                    |
| Conditions Create Actions                      |   |           |                    |
| No conditions found                            |   |           |                    |
| Content Actions                                |   |           |                    |
| Content  |   |           | Delete             |
| Assessments: Screener Name                     |   |           |                    |
| Assessments: Scale Set                         |   |           |                    |
| Assessments: Date Created                      |   |           |                    |
| Assessments: Recommended Supervision Level     |   |           |                    |
| Assessments: Actual Supervision Level Override |   |           |                    |

**Statistical Reports:** Helpful in gaining a better understanding as to why assessments go without being completed/calculated.

| Report Summary Create Actions     |  |           |                     |
|-----------------------------------|--|-----------|---------------------|
| Name:                             | Incomplete Assessments by Non-Completion Reason  | Type:     | Statistical Summary |
| Created:                          | 12/23/2014 12:46 PM  | Modified: | 12/23/2014 12:47 PM |
| Elements:                         | Assessments  |           |                     |
| Description:                      | Helpful in gaining a better understanding as to why assessments go without being completed/calculated. |           |                     |
| Conditions Create Actions         |  |           |                     |
| No conditions found               |  |           |                     |
| Content Actions                   |  |           |                     |
| Content                           |  |           | Delete              |
| Assessments: Non- Complete Reason |  |           |                     |

## Attachment A – List of reports from Dave Wells email dated 2/24/2015

**Roster Report:** Useful in identifying individuals for which the assessment is incomplete, by user and reason for the incomplete assessment.

| Report Summary |   | Create    | Actions             |
|----------------|---|-----------|---------------------|
| Name:          | Roster of Incomplete Assessments, by User, with Non-completion Reason   | Type:     | Roster              |
| Created:       | 12/23/2014 12:54 PM   | Modified: | 12/23/2014 12:55 PM |
| Elements:      | Person Summary, Assessments   |           |                     |
| Description:   | Useful in identifying individuals for which the assessment is incomplete, by user and reason for the incomplete assessment. |           |                     |

| Conditions          | Create | Actions |
|---------------------|--------|---------|
| No conditions found |        |         |

| Content                           | Actions |
|-----------------------------------|---------|
| Content                           | Delete  |
| Offenders: Last Name              |         |
| Offenders: First Name             |         |
| Assessments: Screener Name        |         |
| Assessments: Screening Date       |         |
| Assessments: Scale Set            |         |
| Assessments: Status               |         |
| Assessments: Non- Complete Reason |         |

**Statistical Report:** Useful in informing treatment plans per type.

| Report Summary |   | Create    | Actions             |
|----------------|---|-----------|---------------------|
| Name:          | Full Core Assessments by Typology Assignment  | Type:     | Statistical Summary |
| Created:       | 12/23/2014 1:08 PM                            | Modified: | 12/23/2014 1:10 PM  |
| Elements:      | Assessments                                   |           |                     |
| Description:   | Useful in informing treatment plans per type. |           |                     |

| Conditions          | Create | Actions |
|---------------------|--------|---------|
| No conditions found |        |         |

| Content                           | Actions |
|-----------------------------------|---------|
| Content                           | Delete  |
| Assessments: Typology Score Class |         |

**Roster Report:** Useful in assigning offenders to treatment informed by their Typology assignment.

| Report Summary |   | Create    | Actions |
|----------------|---|-----------|---------|
| Name:          | Typology Assignment Per Offender  | Type:     | Roster  |
| Created:       | 12/23/2014 1:14 PM  | Modified: |         |
| Elements:      | Person Summary, Assessments   |           |         |
| Description:   | Useful in assigning offenders to treatment informed by their Typology assignment. |           |         |

| Conditions          | Create | Actions |
|---------------------|--------|---------|
| No conditions found |        |         |

| Content                           | Actions |
|-----------------------------------|---------|
| Content                           | Delete  |
| Offenders: Last Name              |         |
| Offenders: First Name             |         |
| Assessments: Typology Score Class |         |

## Attachment A – List of reports from Dave Wells email dated 2/24/2015

Roster Report: Useful in identifying cases in which an assessment was completed but no case plan written, by supervision level.

**Report Summary** Create Actions

Name: Assessment Completed but No Case Plan, per Supervision Level

Type: Roster

Created: 12/23/2014 1:27 PM

Modified:

Elements: Person Summary, Assessments, Case Planning

Description: Useful in identifying cases in which an assessment was completed but no case plan written, by supervision level.

**Conditions** Create Actions

No conditions found

**Content** Actions

Content

Delete

Offenders: Last Name

Offenders: Full Name

Assessments: Status

Case Plan Master: Date Created

Assessments: Recommended Supervision Level

Assessments: Actual Override Reason

Statistical Report: Useful in gauging the success rate in addressing need areas in case planning.

**Report Summary** Create Actions

Name: Case Plan Needs Successfully Addressed

Type: Statistical Summary

Created: 12/23/2014 1:45 PM

Modified: 12/23/2014 1:48 PM

Elements: Case Planning

Description: Useful in gauging the success rate in addressing need areas in case planning.

**Conditions** Create Actions

No conditions found

**Content** Actions

Content

Delete

Case Plan Need: Need Addressed

Roster Report: Useful in creating waiting lists for treatment services by risk and need scores.

**Report Summary** Create Actions

Name: Need Areas per Offender

Type: Roster

Created: 12/23/2014 1:51 PM

Modified: 12/23/2014 1:55 PM

Elements: Person Summary, Case Planning, Assessments

Description: Useful in creating waiting lists for treatment services by risk and need scores.

**Conditions** Create Actions

No conditions found

**Content** Actions

Content

Delete

Offenders: Last Name

Offenders: Full Name

Case Plan Need: Need Name

Case Plan Need: Score Text

Core Overall Risk Scores: General Recidivism Risk Score



## Attachment A – List of reports from Dave Wells email dated 2/24/2015

Statistical Report: Useful in gaining a better understanding of the primary need areas being addressed most often in case planning.

|                                      |   |           |                     |
|--------------------------------------|---|-----------|---------------------|
| <b>Report Summary</b> Create Actions |   |           |                     |
| Name:                                | Most Common Need Areas Addressed in Case Planning   | Type:     | Statistical Summary |
| Created:                             | 12/23/2014 2:03 PM  | Modified: | 12/23/2014 2:06 PM  |
| Elements:                            | Case Planning   |           |                     |
| Description:                         | Useful in gaining a better understanding of the primary need areas being addressed most often in case planning. |           |                     |
| <b>Conditions</b> Create Actions     |   |           |                     |
| No conditions found                  |   |           |                     |
| <b>Content</b> Actions               |   |           |                     |
| Content                              |   |           |                     |
| Case Plan Need: Need Name            |   |           |                     |

Statistical Report: Useful in tracking the frequency with which specific default goal language is used in case planning.

|                                      |  |           |                     |
|--------------------------------------|--|-----------|---------------------|
| <b>Report Summary</b> Create Actions |  |           |                     |
| Name:                                | Most Common Goals Used in Case Planning  | Type:     | Statistical Summary |
| Created:                             | 12/23/2014 2:11 PM   | Modified: |                     |
| Elements:                            | Case Planning  |           |                     |
| Description:                         | Useful in tracking the frequency with which specific default goal language is used in case planning. |           |                     |
| <b>Conditions</b> Create Actions     |  |           |                     |
| No conditions found                  |  |           |                     |
| <b>Content</b> Actions               |  |           |                     |
| Content                              |  |           |                     |
| Case Plan Goal: Goal Text            |  |           |                     |

Roster Report: Useful for quick audits of case planning quality.

|   |   |           |                    |
|---|---|-----------|--------------------|
| <b>Report Summary</b> Create Actions                    |   |           |                    |
| Name:   | Goal and Task Language in each Offender's Case Plan, per Risk and Need Level. | Type:     | Roster             |
| Created:  | 12/23/2014 2:17 PM  | Modified: | 12/23/2014 2:20 PM |
| Elements:   | Person Summary, Assessments, Case Planning                                    |           |                    |
| Description:  | Useful for quick audits of case planning quality.                             |           |                    |
| <b>Conditions</b> Create Actions                        |   |           |                    |
| No conditions found                                     |   |           |                    |
| <b>Content</b> Actions                                  |   |           |                    |
| Content   |   |           |                    |
| Offenders: Last Name                                    |   |           |                    |
| Offenders: First Name                                   |   |           |                    |
| Core Overall Risk Scores: General Recidivism Risk Score |   |           |                    |
| Case Plan Need: Need Name                               |   |           |                    |
| Case Plan Need: Score Text                              |   |           |                    |
| Case Plan Goal: Goal Text                               |   |           |                    |
| Case Plan Task: Task Text                               |   |           |                    |

## Attachment A – List of reports from Dave Wells email dated 2/24/2015

Statistical Report: Useful in gaining an overall view of how often case planning tasks are completed successfully, and the primary reasons for failure to successfully complete tasks.

| Report Summary Create Actions   |  |           |                     |
|---------------------------------|--|-----------|---------------------|
| Name:                           | Case Plan Task Outcomes  | Type:     | Statistical Summary |
| Created:                        | 12/23/2014 2:22 PM   | Modified: | 12/23/2014 2:28 PM  |
| Elements:                       | Case Planning  |           |                     |
| Description:                    | Useful in gaining an overall view of how often case planning tasks are completed successfully, and the primary reasons for failure to successfully complete tasks. |           |                     |
| Conditions Create Actions       |  |           |                     |
| No conditions found             |  |           |                     |
| Content Actions                 |  |           |                     |
| Content                         |  |           |                     |
| Case Plan Task: Completion Code |  |           |                     |

Roster Report: Useful in determining the frequency with which case plans are updated, per User.

| Report Summary Create Actions  |  |           |                    |
|--------------------------------|--|-----------|--------------------|
| Name:                          | Case Plans Updated   | Type:     | Roster             |
| Created:                       | 12/23/2014 2:51 PM   | Modified: | 12/23/2014 2:52 PM |
| Elements:                      | Case Planning  |           |                    |
| Description:                   | Useful in determining the frequency with which case plans are updated, per User. |           |                    |
| Conditions Create Actions      |  |           |                    |
| No conditions found            |  |           |                    |
| Content Actions                |  |           |                    |
| Content                        |  |           |                    |
| Case Plan Master: Created By   |  |           |                    |
| Case Plan Master: Date Created |  |           |                    |
| Case Plan Master: Updated By   |  |           |                    |
| Case Plan Master: Date Updated |  |           |                    |

Statistical Report: Useful in identifying and addressing common triggers.

| Report Summary Create Actions |   |           |                     |
|-------------------------------|---|-----------|---------------------|
| Name:                         | Common Triggers Per Need Area                         | Type:     | Statistical Summary |
| Created:                      | 12/23/2014 2:55 PM                                    | Modified: |                     |
| Elements:                     | Case Planning   |           |                     |
| Description:                  | Useful in identifying and addressing common triggers. |           |                     |
| Conditions Create Actions     |   |           |                     |
| No conditions found           |   |           |                     |
| Content Actions               |   |           |                     |
| Content                       |   |           |                     |
| Goal Triggers: Goal Trigger   |   |           |                     |
| Case Plan Need: Need Name     |   |           |                     |

## **Appendix B.2**

### **Calculation of Charges**

Contractor understands and agrees that no payment is due for the Alternative Deliverables detailed in Appendix A.1 and Attachment 1 thereto.

Contractor further understands and agrees that the City may request additional Deliverables by further amendment as mutually agreed.

PERSONAL SERVICES CONTRACT SUMMARY ("PSC FORM 1")

Department: ADULT PROBATION

Dept. Code: ADP

Type of Request: ☐ Initial ☒ Modification of an existing PSC (PSC # 4050 10/11)

Type of Approval: ☐ Expedited ☒ Regular ☐ Annual ☐ Continuing ☐ (Omit Posting)

Type of Service: Purchase, Installation and training of COMPAS copyrighted software program

Funding Source: Federal Grant and General Fund

PSC Original Approved Amount: \$474,000

PSC Original Approved Duration: 09/30/10 - 09/29/13 (3 years)

PSC Mod#1 Amount: \$235,000

PSC Mod#1 Duration: 09/30/13-03/31/15 (1 year 26 weeks)

PSC Mod#2 Amount: \$290,300

PSC Mod#2 Duration: 04/01/15-06/30/16 (1 year 13 weeks)

PSC Mod#3 Amount: no amount added

PSC Mod#3 Duration: 07/01/16-06/30/21 (5 years 1 day)

PSC Mod#4 Amount: no amount added

PSC Mod#4 Duration: 07/01/21-06/30/22 (1 year)

PSC Cumulative Amount Proposed: \$999,300

PSC Cumulative Duration Proposed: 11 years 39 weeks

**1. Description of Work**

**A. Scope of Work/Services to be Contracted Out:**

The San Francisco Adult Probation Department (APD) will procure the Correctional Offender Management Profiling for Alternative Sanctions (COMPAS) copyrighted software program from Northpointe Institute for Public Management, Inc. for implementing a risk/needs assessment and case management consolidated software business solution that meets APD's workflow and data information needs which includes a Justice Tracking Information System (JUSTIS) Interface and Supervise Released File Functionality.

**B. Explain why this service is necessary and the consequence of denial:**

See attachment for more information.

**C. Has this service been provided in the past? If so, how? If the service was provided under a previous PSC, attach copy of the most recently approved PSC.**

Services have been provided in the past through earlier PSC request. See 4050 10/11

**D. Will the contract(s) be renewed?**

Yes, only the software license will be renewed in the future.

**E. If this is a request for a new PSC in excess of five years, or if your request is to extend (modify) an existing PSC by another five years, please explain why:**



This PSC is for the procurement of a software application to manage comprehensive data from the Adult Probation Department (APD). The need to store and manage data using this software application is ongoing and extends beyond five years.

**2. Reason(s) for the Request**

A. Display all that apply

☒ Immediately needed services to address unanticipated or transitional situations, or services needed to address emergency situations.

☒ Regulatory or legal requirements, or requirements or mandates of funding source(s) which limit or preclude the use of Civil Service Employees. Include a copy of the applicable requirement or mandate.

Explain the qualifying circumstances:

Senate Bill 678 mandates the use of a risk/needs assessment which is the software that is being contracted for. The Superior Court will also be using the contracted risk and needs assessment software.

B. Reason for the request for modification:

Extend expiration date only. No other changes.

**3. Description of Required Skills/Expertise**

A. Specify required skills and/or expertise: No other vendor could reach the same level of competence as COMPAS is copyrighted software and under contract to California Department of Corrections and Rehabilitation (CDCR) to provide Risk and Needs Assessment software for the next two years. COMPAS has 600,000 completed risk and needs assessments which APD and other criminal justice agencies will have access to.

B. Which, if any, civil service class(es) normally perform(s) this work? none

C. Will contractor provide facilities and/or equipment not currently possessed by the City? If so, explain: No

**4. If applicable, what efforts has the department made to obtain these services through available resources within the City?**

Not Applicable

**5. Why Civil Service Employees Cannot Perform the Services to be Contracted Out**

A. Explain why civil service classes are not applicable.

COMPAS is proprietary software that only NorthPointe has the expertise in installing and configuring it. After NorthPointe installs and configures the COMPAS software, the company will provide training to the City employees for further day-to-day operation.

B. If there is no civil service class that could perform the work, would it be practical and/or feasible to adopt a new civil service class to perform this work? Explain: No. The installation of the

COMPAS proprietary software is a one-time project. This software is copyrighted and cannot be installed by Civil Service Personnel without violating the copyright.

**6. Additional Information**

- A. Will the contractor directly supervise City and County employee? If so, please include an explanation.  
No.
- B. Will the contractor train City and County employees and/or is there a transfer of knowledge component that will be included in the contract? If so, please explain what that will entail; if not, explain why not.  
See attachment for more information.
- C. Are there legal mandates requiring the use of contractual services?  
See attachments for more information.
- D. Are there federal or state grant requirements regarding the use of contractual services? If so, please explain and include an excerpt or copy of any such applicable requirement.  
See attachments for more information.
- E. Has a board or commission determined that contracting is the most effective way to provide this service? If so, please explain and include a copy of the board or commission action.  
No.
- F. Will the proposed work be completed by a contractor that has a current PSC contract with your department? If so, please explain.  
No.

**7. Union Notification:** On 06/08/21, the Department notified the following employee organizations of this PSC/RFP request:  
all unions were notified

☒ I CERTIFY ON BEHALF OF THE DEPARTMENT THAT THE INFORMATION CONTAINED IN AND ATTACHED TO THIS FORM IS COMPLETE AND ACCURATE:

Name: Elisa Baeza Phone: 4155531691 Email: elisa.baeza@sfgov.org

Address: 880 Bryant Street, Room 200, San Francisco, CA 94103

\*\*\*\*\*

**FOR DEPARTMENT OF HUMAN RESOURCES USE**

PSC# 4050 10/11

DHR Analysis/Recommendation:

Commission Approval Not Required

Approved by DHR on 06/17/2021

**From:** [CCSF IT Service Desk](#)  
**To:** [Baeza, Elisa \(ADP\)](#); [Martinez, Veronica \(ADP\)](#)  
**Subject:** OCAWVR0004383 – "Waive Competitive Solicitation Requirements" has been Approved  
**Date:** Tuesday, March 23, 2021 1:00:30 PM

---

Dear Elisa Baeza,

This is to inform you that OCAWVR0004383 - 'Request to Waive Competitive Solicitation Requirements' has been approved.

Please include a copy of this email in your purchase /contract request to OCA.

**Summary of Request:** Maintenance and Support of the Northpointe Suite Perpetual License for an additional period of one (1) year, through March 7, 2022

**Admin Code for Determination:**

Reg 21.30: Proprietary Articles Software Licenses and Support and Proprietary Articles Equipment Maintenance.

**Contract ID:** 1000002090

**Reason for determination:** ADP is seeking an Amendment #5 to extend the term of the Agreement by 1 year, to an end date of 3/7/2022.

COMPAS is a proprietary, interactive web-system that analyses data regarding adult offenders to determine case management and supervision classification, provides risk and needs assessments, and generates specific recommendations regarding the supervision of offenders. COMPAS software provides an integrated case management and risk/needs assessment database solution that includes the Justice Tracking Information System (JUSTIS) interface and Supervise Release File functionality, both required features for SFAPD and the City and County of San Francisco (CCSF). Scores and analysis of the data are provided via a conventional web browser in a series of concise, interactive reports. COMPAS includes a web-based data-reporting package, which produces on-demand aggregate reports.

Per the Supplier, "The Northpointe Suite is proprietary and copyrighted by Northpointe, Inc. Northpointe, Inc. d/b/a equivalent is the only company authorized to provide the COMPAS Risk and Need Assessments and the Classification Decision Tree as part of a software application to criminal justice agencies. This includes all professional service delivery and ongoing Support and Maintenance of the product. "

**Total approved amount:** \$768,950.00

[Take me to the OCA Waiver Request](#)

Thank you.

Ref:MSG2696380

**From:** [CCSF IT Service Desk](#)  
**To:** [Fudym, Bella \(ADP\)](#); [Baeza, Elisa \(ADP\)](#); [Martinez, Veronica \(ADP\)](#)  
**Subject:** Your CIO Review Service Request SER0341380 has been Deemed Approved - PS ref.# 1000002090  
**Date:** Tuesday, April 6, 2021 12:05:25 AM  
**Attachments:** [greenarrow.pngx](#)  
[92af39f0dbe21f0005a406e2ca961911.iix](#)  
[greendot.pngx](#)

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Department of Technology  
**Service Desk**



SAN FRANCISCO  
DEPARTMENT OF  
TECHNOLOGY

---

CIO Review Request Update

 Service Request # [SER0341380](#)

Dear **Elisa Baeza**,

This is to inform you that your CIO Review service request [SER0341380](#) has been **Deemed Approved** by the Department of Technology.

Should you have any questions, please contact **Matt Reeves** @ [matt.reeves@sfgov.org](mailto:matt.reeves@sfgov.org).

Please document this in PeopleSoft by noting in the requisition "approval justification" field: "CIO Review Approved per DT CIO Review Service Ticket #[your number here]." as an evidence that your CIO Review request has been deemed approved by the Department of Technology.

Thank you.

**Detailed Description:**

Vendor Cybersecurity Risk Assessment: On 2021-03-29 14:01:07, Elisa Baeza certified that the vendor is out-of-scope for cyber review based on evaluation by Bella Fudym, the 'ADP' Department Information Security Officer.

According to the results received in the vendor cybersecurity risk assessment, this scope/vendor is out of scope. We are submitting this amendment for DT review as protocol suggests.

The Adult Probation Department (ADP) has already received approval from OCA -- in accordance with SF Admin Code Reg. 21.30 -- to continue contracting with Northpointe for Support and Maintenance only (no licenses) of the COMPAS risk and needs assessment tool. ADP will amend the current contract to extend the term by 12 more months. ADP consulted with Risk Management to determine appropriate coverage levels, which are now confirmed.

More information on the service described below:

COMPAS is a proprietary, interactive web-system that analyses data regarding adult offenders to determine case management and supervision classification, provides risk and needs assessments, and generates specific recommendations regarding the supervision of offenders. COMPAS software provides an integrated case management and risk/needs assessment database solution that includes the Justice Tracking Information System (JUSTIS) interface and Supervise Release File functionality, both required features for SFAPD and the City and County of San Francisco (CCSF). Scores and analysis of the data are provided via a conventional web browser in a series of concise, interactive reports. COMPAS includes a web-based data-reporting package, which produces on-demand aggregate reports.

To comply with California Community Corrections Performance Incentives Act of 2009/Senate Bill 678 (SB 678) and Administrative Office of the Courts' California Risk Assessment Pilot Project (CALRAPP), APD acquired Northpointe, Inc.'s COMPAS System. Both SB 678 and CALRAPP require California Counties to integrate Community Corrections and Evidence Based Practices to their supervision protocols. COMPAS allows APD to comply with data collection requirements of SB 678 and CALRAPP, which are mission critical for the Department. The compliance data includes probation performance outcomes (recidivism and successful termination of supervision); this information determines the level of funding the CCSF receives each year from the State under SB 678 provisions.

Deputy Probation Officers at ADP depend on COMPAS on a daily basis to assess probation clients. As mentioned, this amendment will extend the term the existing contract for 12 more months so that ADP will continue to receive support and maintenance services for COMPAS. Note that ADP already has perpetual licenses for COMPAS, and Northpointe does not and will not have access to ADP's system nor data.

## Service Request

**PeopleSoft ref. #:** 1000002090

**Approval decision:** Deemed Approved

**Closure notes:** It has been 5 business days since you have submitted your request for CIO review. Your request is deemed approved. Please document this in PeopleSoft by noting in the requisition "approval justification" field: "CIO Review Approved per DT CIO Review Service Ticket #[your number here]." as an evidence that your CIO Review request has been deemed approved by the Department of Technology.  
Thank you

[View Request](#)



**Department of Technology**

2nd Floor, 1 S Van Ness Ave, San Francisco, CA 94103

628-652-5000 | [www.sfgov.org/dt](http://www.sfgov.org/dt)

Ref:MSG2721029

**CITY AND COUNTY OF SAN FRANCISCO  
OFFICE OF CONTRACT ADMINISTRATION**

**ASSIGNMENT AND ASSUMPTION AGREEMENT**

THIS ASSIGNMENT (this "Assignment") is made as of January 23, 2012, in San Francisco, California, by and between **Northpointe Institute for Public Management, Inc.** ("Assignor") and **Northpointe, Inc.** ("Assignee").

**RECITALS**

WHEREAS, Assignor is a party to the Agreement (as defined below); and

WHEREAS, Assignor desires to assign the Agreement, and Assignee desires to assume the Agreement, each on the terms and conditions set forth herein;

NOW, THEREFORE, in consideration of the promises and the mutual covenants contained in this Assignment, and for other good and valuable consideration, the receipt and adequacy of which are hereby acknowledged, Assignor and Assignee agree as follows:

1. **Definitions.** The following definitions shall apply to this Assignment:
  - (a) **Agreement.** The term "Agreement" shall mean the Agreement dated **the 7<sup>th</sup> day of March 2011** between Assignor and City and County of San Francisco, a municipal corporation ("City").
  - (b) **Effective Date.** "Effective Date" shall mean **May 4, 2011**.
  - (c) **Other Terms.** Terms used and not defined in this Assignment shall have the meanings assigned to such terms in the Agreement.
2. **Assignment.** Assignor hereby assigns, transfers and conveys to Assignee all of Assignor's right, title and interest in and to the Agreement and all of Assignor's duties and obligations thereunder, to the extent arising on or after the Effective Date.
3. **Assumption.** Assignee hereby accepts the assignment transfer and conveyance set forth in Section 2 and agrees to perform all of Assignor's duties and obligations under the Agreement, to the extent arising on or after the Effective Date.
4. **Left Blank by Agreement of the Parties.**
5. **Governing Law.** This Assignment shall be governed by the laws of the State of California, without regard to its conflict of laws principles.
6. **Headings.** All section headings and captions contained in this Assignment are for reference only and shall not be considered in construing this Assignment.
7. **Entire Agreement.** This Assignment sets forth the entire agreement between Assignor and Assignee relating to the Agreement and supersedes all other oral or written provisions.



8. **Further Assurances.** From and after the date of this Assignment, Assignor and Assignee agree to do such things, perform such acts, and make, execute, acknowledge and deliver such documents as may be reasonably necessary or proper and usual to complete the conveyance contemplated by this Assignment or as may be required by City.

9. **Severability.** Should the application of any provision of this Assignment to any particular facts or circumstances be found by a court of competent jurisdiction to be invalid or unenforceable, then (a) the validity of other provisions of this Assignment shall not be affected or impaired thereby and (b) such provision shall be enforced to the maximum extent possible so as to effect the intent of Assignor, Assignee and City.

10. **Successors; Third-Party Beneficiaries.** Subject to the terms of the Agreement, this Assignment shall be binding upon, and inure to the benefit of, the parties hereto and their successors and assigns. Except as set forth in Section 12, nothing in this Assignment, whether express or implied, shall be construed to give any person or entity (other than City and the parties hereto and their respective successors and assigns) any legal or equitable right, remedy or claim under or in respect of this Assignment or any covenants, conditions or provisions contained herein.

11. **Notices.** All notices, consents, directions, approvals, instructions, requests and other communications regarding this Assignment or the Agreement shall be in writing, shall be addressed to the person and address set forth below and shall be (a) deposited in the U.S. mail, first class, certified with return receipt requested and with appropriate postage, (b) hand delivered or (c) sent via facsimile (if a facsimile number is provided below). All communications sent in accordance with this Section shall become effective on the date of receipt. From time to time Assignor, Assignee or City may designate a new address for purposes of this Section by notice to the other signatories to this Assignment.

**If to Assignor:** Brian Mattson  
Northpointe Institute for Public Management, Inc.  
112 N. Rubey Dr., Suite 135  
Golden, CO 80403

**If to Assignee:** Northpointe, Inc.  
Judy Kimminau  
112 N. Rubey Dr. #135  
Golden, CO 80403  
Fax: (303) 216-9459  
E-mail: Judy.kimminau@northpointeinc.com

**If to City:** Ms. Wendy S. Still  
Chief Adult Probation Officer  
San Francisco Adult Probation Department  
880 Bryant Street, Room 200  
San Francisco, CA 94103  
Fax: (415) 553-1717;  
E-mail: wendy.still@sfgov.org

12. **Consent of City; No Release of Assignor; Waivers.** Each of Assignor and Assignee acknowledges that the prior written consent of City to this Assignment is required under the

terms of the Agreement. City shall be a third party beneficiary of this Assignment (other than Section 4) and shall have the right to enforce this Assignment. Neither this Assignment nor the consent of City set forth below shall release Assignor in whole or in part from any of its obligations or duties under the Agreement if Assignee fails to perform or observe any such obligation or duty. Assignor has entered into this Assignment and obtained such consent of City based solely upon Assignor's independent investigation of Assignee's financial condition and ability to perform under the Agreement, and Assignor assumes full responsibility for obtaining any further information with respect to Assignee or the conduct of its business after the date of this Assignment. Assignor waives any right to require City to (a) proceed against any person or entity including Assignee, (b) proceed against or exhaust any security now or hereafter held in connection with the Agreement, or (c) pursue any other remedy in City's power. Assignor waives any defense arising by reason of any disability or other defense of Assignee or any other person, or by reason of the cessation from any cause whatsoever of the liability of Assignee or any other person. Assignor shall not have and hereby waives any right of subrogation to any of the rights of City against Assignee or any other person and Assignor waives any right to enforce any remedy of Assignor against Assignee (including, without limitation, Section 4(b)) or against any other person unless and until all obligations to City under the Agreement and this Assignment have been paid and satisfied in full. Assignor waives any benefit of any right to participate in any collateral or security whatsoever now or hereafter held by City with respect to the obligations under the Agreement. Assignor authorizes City, without notice or demand and without affecting Assignor's liability hereunder or under the Agreement to: (i) renew, modify or extend the time for performance of any obligation under the Agreement; (ii) take and hold security for the payment of any obligation under the Agreement and exchange, enforce, waive and release such security; and (iii) release or consent to an assignment by Assignee of all or any part of the Agreement.

IN WITNESS WHEREOF, Assignor and Assignee have each duly executed this Assignment as of the date first referenced above.

ASSIGNOR

**Northpointe Institute for Public  
Management, Inc.  
CITY VENDOR No. 83611**

By

  
\_\_\_\_\_  
B. Matton, GM  
Name and Title

ASSIGNEE

**Northpointe, Inc.  
CITY VENDOR No. 85589**

By

  
\_\_\_\_\_  
B. Matton, GM  
Name and Title

Subject to Section 12 of this Assignment, City hereby consents to the assignment and assumption described in Sections 2 and 3 of this Assignment.

**CITY**

Recommended by:

  
\_\_\_\_\_  
Signature for Department

Wendy S. Still  
Printed Name

Chief Adult Probation Officer  
San Francisco Adult Probation Department  
Title and Department


Approved as to Form:

Dennis J. Herrera  
City Attorney

By

  
\_\_\_\_\_  
Rosa M Sanchez  
Deputy City Attorney

Approved:

  
\_\_\_\_\_  
Naomi Kelly  
Director of Office of Contract Administration/ Purchaser



**CERTIFICATE OF INSURANCE**

SEE ENDORSEMENT # 142

**NAMED INSURED**

CONSTELLATION SOFTWARE INC. and  
NORTHPOINTE INC.  
1764 FOREST RIDGE DRIVE  
TRAVERSE CITY, MI 49686

**CERTIFICATE HOLDER**

SAN FRANCISCO ADULT PROBATION  
880 BRYANT ST., ROOM 200  
SAN FRANCISCO, CA 94103

This certificate is issued as a matter of information only and confers no rights upon the certificate holder. This certificate does not amend, extend or alter the coverage afforded by the policies below.

**INSURANCE COMPANIES AFFORDING COVERAGE****COMPANY**

A Zurich Insurance Company Ltd. (AM Best rating A)

**COMPANY**

B Liberty Mutual Fire Insurance Company (AM Best rating A)

**COMPANY**

C

**COMPANY**

D


**COMPANY**

E Zurich American Insurance Company

**COVERAGES**

This is to certify that the policies of insurance listed below have been issued to the insured named above for the policy period indicated, notwithstanding any requirement, term or condition of any contract or other document with respect to which this certificate may be issued or may pertain. The insurance afforded by the policies described herein is subject to all the terms, exclusions and conditions of such policies. LIMITS ARE IN U.S. DOLLARS UNLESS INDICATED OTHERWISE.

LIMITS SHOWN MAY HAVE BEEN REDUCED BY PAID CLAIMS.

| TYPE OF INSURANCE  | CO LTR | POLICY NUMBER  | POLICY EFFECTIVE DATE (YYYY/MM/DD)  | POLICY EXPIRATION DATE (YYYY/MM/DD) | LIMITS OF LIABILITY             |   |
|--|--------|----------------|---|-------------------------------------|---------------------------------|---|
| <b>COMMERCIAL GENERAL LIABILITY</b><br>OCCURRENCE BASIS<br>INCLUDING:<br>PRODUCTS AND COMPLETED OPERATIONS<br>CROSS LIABILITY / SEVERABILITY OF INTERESTS / BLANKET CONTRACTUAL LIABILITY<br>PERSONAL INJURY \$1,000,000 LIMIT, ADVERTISING LIABILITY \$1,000,000 LIMIT<br>TENANT'S LEGAL LIABILITY \$1,000,000 LIMIT, MEDICAL EXPENSES \$25,000 LIMIT<br>WAIVER OF SUBROGATION WHERE REQUIRED BY WRITTEN CONTRACT   | E      | GLO8249874     | 2011/09/27  | 2012/09/27                          | \$ 1,000,000                    | EACH OCCURRENCE   |
|  |        |                |   |                                     | \$ 1,000,000                    | GENERAL AGGREGATE   |
|  |        |                |   |                                     | \$ 1,000,000                    | PRODUCTS - COMPLETED OPERATIONS AGGREGATE                                   |
|  |        |                |   |                                     |                                 |   |
| <b>ADDITIONAL INSURED:</b> THE CITY AND COUNTY OF SAN FRANCISCO, ITS OFFICERS, AGENTS AND EMPLOYEES, AND SAN FRANCISCO ADULT PROBATION, ITS OFFICERS, AGENTS AND EMPLOYEES, but only with respect to liability arising out of the operations of the Named Insured.<br>Such insurance as is afforded by the Commercial General Liability coverage on this policy will be considered as primary insurance, not contributory and not excess of any other insurance. |        |                |   |                                     |                                 |   |
| <b>NON-OWNED &amp; HIRED AUTOMOBILE LIABILITY</b>  | A      | 8839016        | 2011/09/27  | 2012/09/27                          | \$1,000,000                     | EACH OCCURRENCE   |
| <b>ADDITIONAL INSURED:</b> THE CITY AND COUNTY OF SAN FRANCISCO, ITS OFFICERS, AGENTS AND EMPLOYEES, AND SAN FRANCISCO ADULT PROBATION, ITS OFFICERS, AGENTS AND EMPLOYEES, but only with respect to liability arising out of the operations of the Named Insured.   |        |                |   |                                     |                                 |   |
| <b>UMBRELLA LIABILITY</b>  | A      | 8838706        | 2011/09/27  | 2012/09/27                          | \$14,000,000                    | PER OCCURRENCE & IN THE AGGREGATE   |
| NOT APPLICABLE   |        |                |   |                                     |                                 |   |
| <b>PROFESSIONAL LIABILITY AND TECHNOLOGY ERRORS &amp; OMISSIONS</b><br>CLAIMS MADE BASIS<br>\$500,000 DEDUCTIBLE   | E      | IPR0435933200  | 2011/09/27  | 2012/09/27                          | \$ 5,000,000                    | PER CLAIM & IN THE AGGREGATE  |
| NOT APPLICABLE   |        |                |   |                                     |                                 |   |
| NOT APPLICABLE   | E      | MCP4476069     |   |                                     |                                 |   |
| NOT APPLICABLE   |        |                |   |                                     |                                 |   |
| <b>WORKERS COMPENSATION &amp; EMPLOYER'S LIABILITY</b><br>WC - STATUTORY LIMITS<br>INCLUDING WAIVER OF SUBROGATION WHERE REQUIRED BY WRITTEN CONTRACT  | B      | WC2-B71-170802 | 2011/09/27  | 2012/09/27                          | \$ 1,000,000                    | E.L.:<br>-EACH ACCIDENT<br>-EACH DISEASE/ EMPLOYEE<br>-DISEASE POLICY LIMIT |
| <b>DESCRIPTION OF OPERATIONS / LOCATIONS / SPECIAL PROVISIONS:</b>   |        |                |   |                                     |                                 |   |
| <b>BROKER</b><br>The CG&B Group Inc.<br>120 South Town Centre Blvd.<br>Markham, ON L6G 1C3   |        |                | <b>CANCELLATION</b><br>Should any of the above described policies be cancelled before the expiration date thereof, the issuing company will endeavour to mail 30 days written notice to the certificate holder named above. Failure to mail such notice shall impose no obligation or liability of any kind upon the company, its agents or representatives |                                     |                                 |   |
| SIGNATURE OF AUTHORIZED REPRESENTATIVE<br>  |        |                | PRINT NAME<br>BRENDA POWRIE   |                                     | DATE (YYYY/MM/DD)<br>2012/01/24 |   |



# California Secretary of State Electronic Filing

# FILED

Secretary of State  
State of California

## Corporation - Statement of Information

Entity Name: NORTHPOINTE INC. WHICH WILL DO  
BUSINESS IN CALIFORNIA AS  
NORTHPOINTE SOFTWARE, INC.

Entity (File) Number: C3389336

File Date: 06/19/2020

Entity Type: Corporation

Jurisdiction: DELAWARE

Document ID: GG42610

### Detailed Filing Information

1. Entity Name: NORTHPOINTE INC. WHICH WILL DO  
BUSINESS IN CALIFORNIA AS  
NORTHPOINTE SOFTWARE, INC.
2. Business Addresses:
  - a. Street Address of Principal  
Office in California:
  - b. Mailing Address: 1764 Forest Ridge Drive,Suite A  
Traverse City , Michigan 49686  
United States of America
  - c. Street Address of Principal  
Executive Office: 1764 Forest Ridge Drive,Suite A  
Traverse City , Michigan 49686  
United States of America
3. Officers:
  - a. Chief Executive Officer: Mark Miller  
1764 Forest Ridge Drive,Suite A  
Traverse City , Michigan 49686  
United States of America
  - b. Secretary: Brian Beattie  
1764 Forest Ridge Drive,Suite A  
Traverse City , Michigan 49686  
United States of America



## California Secretary of State Electronic Filing

Officers (cont'd):

c. Chief Financial Officer:

Brian Beattie  
1764 Forest Ridge Drive, Suite A  
Traverse City , Michigan 49686  
United States of America

4. Director:

Not Applicable

Number of Vacancies on the Board of  
Directors:

Not Applicable

5. Agent for Service of Process:

C T CORPORATION SYSTEM  
(C0168406)

6. Type of Business:

Sales of computer software and  
consulting services.

By signing this document, I certify that the information is true and correct and that I am authorized by California law to sign.

Electronic Signature: Kelly Lettmann

Use [bizfile.sos.ca.gov](http://bizfile.sos.ca.gov) for online filings, searches, business records, and resources.

Document ID: GG42610



# CERTIFICATE OF LIABILITY INSURANCE

DATE (MM/DD/YYYY)  
9/28/2020

THIS CERTIFICATE IS ISSUED AS A MATTER OF INFORMATION ONLY AND CONFERS NO RIGHTS UPON THE CERTIFICATE HOLDER. THIS CERTIFICATE DOES NOT AFFIRMATIVELY OR NEGATIVELY AMEND, EXTEND OR ALTER THE COVERAGE AFFORDED BY THE POLICIES BELOW. THIS CERTIFICATE OF INSURANCE DOES NOT CONSTITUTE A CONTRACT BETWEEN THE ISSUING INSURER(S), AUTHORIZED REPRESENTATIVE OR PRODUCER, AND THE CERTIFICATE HOLDER.

**IMPORTANT:** If the certificate holder is an ADDITIONAL INSURED, the policy(ies) must have ADDITIONAL INSURED provisions or be endorsed. If SUBROGATION IS WAIVED, subject to the terms and conditions of the policy, certain policies may require an endorsement. A statement on this certificate does not confer rights to the certificate holder in lieu of such endorsement(s).

|  |   |                       |
|--|---|-----------------------|
| <b>PRODUCER</b><br><br>Marsh Canada Limited<br>120 Bremner Blvd., Suite 800<br>Toronto, ON M5J 0A8                           | <b>CONTACT NAME:</b>                                |                       |
|  | <b>PHONE (A/C, No, Ext):</b>                        | <b>FAX (A/C, No):</b> |
| <b>INSURED</b><br><br>CONSTELLATION SOFTWARE INC. AND NORTHPOINTE INC.<br>1764 FOREST RIDGE DRIVE<br>TRAVERSE CITY, MI 49686 | <b>EMAIL ADDRESS:</b>                               |                       |
|  | <b>INSURER(S) AFFORDING COVERAGE</b>                |                       |
|  | <b>INSURER A:</b> Federal Insurance Company         |                       |
|  | <b>INSURER B:</b>                                   |                       |
|  | <b>INSURER C:</b> Chubb Insurance Company of Canada |                       |
|  | <b>INSURER D:</b>                                   |                       |
| <b>INSURER E:</b>  |   |                       |
| <b>INSURER F:</b>  |   |                       |

**COVERAGES****CERTIFICATE NUMBER: 20/21-1022****REVISION NUMBER: 1**

THIS IS TO CERTIFY THAT THE POLICIES OF INSURANCE LISTED BELOW HAVE BEEN ISSUED TO THE INSURED NAMED ABOVE FOR THE POLICY PERIOD INDICATED. NOTWITHSTANDING ANY REQUIREMENT, TERM OR CONDITION OF ANY CONTRACT OR OTHER DOCUMENT WITH RESPECT TO WHICH THIS CERTIFICATE MAY BE ISSUED OR MAY PERTAIN, THE INSURANCE AFFORDED BY THE POLICIES DESCRIBED HEREIN IS SUBJECT TO ALL THE TERMS, EXCLUSIONS AND CONDITIONS OF SUCH POLICIES. LIMITS SHOWN MAY HAVE BEEN REDUCED BY PAID CLAIMS.

| INSR LTR                           | TYPE OF INSURANCE   | ADDL INSR    | SUBR WVD | POLICY NUMBER   | POLICY EFF (MM/DD/YYYY) | POLICY EXP (MM/DD/YYYY) | LIMITS   |               |
|------------------------------------|---|--------------|----------|-----------------|-------------------------|-------------------------|--|---------------|
| A                                  | <input checked="" type="checkbox"/> <b>COMMERCIAL GENERAL LIABILITY</b>                                   |              |          | 9950-48-39 -EUC | 09/27/2020              | 09/27/2021              | EACH OCCURRENCE  | \$ 1,000,000  |
|                                    | <input type="checkbox"/> CLAIMS-MADE <input checked="" type="checkbox"/> OCCUR                            |              |          |                 |                         |                         | DAMAGE TO RENTED PREMISES (Ea occurrence)                                      | \$            |
|                                    |   |              |          |                 |                         |                         | MED EXP (Any one person)   | \$ 25,000     |
|                                    |   |              |          |                 |                         |                         | PERSONAL & ADV INJURY  | \$ 1,000,000  |
| GEN'L AGGREGATE LIMIT APPLIES PER: |   |              |          |                 |                         |                         | GENERAL AGGREGATE  | \$ 2,000,000  |
|                                    | <input checked="" type="checkbox"/> POLICY <input type="checkbox"/> PRO-JECT <input type="checkbox"/> LOC |              |          |                 |                         |                         | PRODUCTS - COMP/OP AGG   | \$ 1,000,000  |
|                                    | OTHER:  |              |          |                 |                         |                         | TENANTS LEGAL LIABILITY  | \$ 1,000,000  |
| A                                  | <b>AUTOMOBILE LIABILITY</b>   |              |          | 73600397        | 09/27/2020              | 09/27/2021              | COMBINED SINGLE LIMIT (Ea accident)  | \$ 1,000,000  |
|                                    | <input checked="" type="checkbox"/> ANY AUTO  |              |          |                 |                         |                         | BODILY INJURY (Per person)   | \$            |
|                                    | <input type="checkbox"/> OWNED AUTOS ONLY <input type="checkbox"/> SCHEDULED AUTOS                        |              |          |                 |                         |                         | BODILY INJURY (Per accident)   | \$            |
|                                    | <input checked="" type="checkbox"/> HIRED AUTOS ONLY <input checked="" type="checkbox"/> NON-OWNED AUTOS  |              |          |                 |                         |                         | PROPERTY DAMAGE (Per accident)   | \$            |
| C                                  | <input checked="" type="checkbox"/> <b>UMBRELLA LIAB</b>  |              |          | 78183369        | 09/27/2020              | 09/27/2021              | EACH OCCURRENCE  | \$ 14,000,000 |
|                                    | <input type="checkbox"/> EXCESS LIAB  |              |          |                 |                         |                         | AGGREGATE  | \$ 14,000,000 |
|                                    |   |              |          |                 |                         |                         |  | \$            |
|                                    | DED   | RETENTION \$ |          |                 |                         |                         |  |               |
| A                                  | <b>WORKERS COMPENSATION AND EMPLOYERS' LIABILITY</b>  |              |          | 7176-4342       | 09/27/2020              | 09/27/2021              | <input checked="" type="checkbox"/> PER STATUTE <input type="checkbox"/> OTHER |               |
|                                    | ANY PROPRIETOR/PARTNER/EXECUTIVE OFFICER/MEMBER EXCLUDED? (Mandatory in NH)                               | Y/N          |          |                 |                         |                         | E.L. EACH ACCIDENT   | \$ 1,000,000  |
|                                    | If yes, describe under DESCRIPTION OF OPERATIONS below  | NO           | N/A      |                 |                         |                         | E.L. DISEASE - EA EMPLOYEE   | \$ 1,000,000  |
|                                    |   |              |          |                 |                         |                         | E.L. DISEASE - POLICY LIMIT  | \$ 1,000,000  |
| A                                  | <b>TECHNOLOGY ERRORS &amp; OMISSIONS LIABILITY</b>  |              |          | 9950-48-39 -EUC | 09/27/2020              | 09/27/2021              | PER CLAIM & IN THE AGGREGATE   | \$ 5,000,000  |
|                                    |   |              |          |                 |                         |                         | SIR  | \$ 1,000,000  |

**DESCRIPTION OF OPERATIONS / LOCATIONS / VEHICLES (ACORD 101, Additional Remarks Schedule, may be attached if more space is required)**

THE CITY AND COUNTY OF SAN FRANCISCO, ITS OFFICERS, AGENTS AND EMPLOYEES, AND SAN FRANCISCO ADULT PROBATION, ITS OFFICERS, AGENTS AND EMPLOYEES IS ADDED AS ADDITIONAL INSURED WITH RESPECT TO THE COMMERCIAL GENERAL LIABILITY POLICY, BUT ONLY WITH RESPECT TO LIABILITY ARISING OUT OF THE OPERATIONS OF THE NAMED INSURED. THE US COMMERCIAL GENERAL LIABILITY POLICY, US AUTOMOBILE POLICY, US WORKERS COMPENSATION & EMPLOYER'S LIABILITY POLICY, AND TECHNOLOGY E&O LIABILITY POLICY HAVE BEEN PLACED BY SERVICE OF MARSH USA INC. MARSH CANADA LIMITED HAS ONLY ACTED IN THE ROLE OF A CONSULTANT TO THE CLIENT WITH RESPECT TO THESE PLACEMENTS WHICH ARE INDICATED HERE FOR YOUR CONVENIENCE.

**CERTIFICATE HOLDER**SAN FRANCISCO ADULT PROBATION  
880 BRYANT ST., ROOM 200  
SAN FRANCISCO, CA 94103**CANCELLATION**

SHOULD ANY OF THE ABOVE DESCRIBED POLICIES BE CANCELLED BEFORE THE EXPIRATION DATE THEREOF, NOTICE WILL BE DELIVERED IN ACCORDANCE WITH THE POLICY PROVISIONS.

AUTHORIZED REPRESENTATIVE



**Endorsement**

|                        |  |
|------------------------|--|
| <i>Policy Period</i>   | SEPTEMBER 27, 2020 TO SEPTEMBER 27, 2021 |
| <i>Effective Date</i>  | SEPTEMBER 27, 2020                       |
| <i>Policy Number</i>   | 9950-48-39 EUC                           |
| <i>Insured</i>         | CONSTELLATION SOFTWARE, INC.             |
| <i>Name of Company</i> | FEDERAL INSURANCE COMPANY                |
| <i>Date Issued</i>     | OCTOBER 22, 2020                         |

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This Endorsement applies to the following forms:

GENERAL LIABILITY

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Under Who Is An Insured, the following provision is added.

**Who Is An Insured****Additional Insured -  
Scheduled Person  
Or Organization**

Persons or organizations shown in the Schedule are **insureds**; but they are **insureds** only if you are obligated pursuant to a contract or agreement to provide them with such insurance as is afforded by this policy.

However, the person or organization is an **insured** only:

- if and then only to the extent the person or organization is described in the Schedule;
- to the extent such contract or agreement requires the person or organization to be afforded status as an **insured**;
- for activities that did not occur, in whole or in part, before the execution of the contract or agreement; and
- with respect to damages, loss, cost or expense for injury or damage to which this insurance applies.

No person or organization is an **insured** under this provision:

- that is more specifically identified under any other provision of the Who Is An Insured section (regardless of any limitation applicable thereto).
  - with respect to any assumption of liability (of another person or organization) by them in a contract or agreement. This limitation does not apply to the liability for damages, loss, cost or expense for injury or damage, to which this insurance applies, that the person or organization would have in the absence of such contract or agreement.
-

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**Liability Endorsement**  
(continued)

Under Conditions, the following provision is added to the condition titled Other Insurance.

**Conditions**

***Other Insurance –  
Primary, Noncontributory  
Insurance – Scheduled  
Person Or Organization***

If you are obligated, pursuant to a contract or agreement, to provide the person or organization shown in the Schedule with primary insurance such as is afforded by this policy, then in such case this insurance is primary and we will not seek contribution from insurance available to such person or organization.

---

***Schedule***

Persons or organizations that you are obligated, pursuant to a contract or agreement, to provide with such insurance as is afforded by this policy.

All other terms and conditions remain unchanged.

Authorized Representative



**Workers' Compensation and Employers' Liability Policy**

|   |   |
|---|---|
| Named Insured<br>CONSTELLATION SOFTWARE, INC.<br>5265 ROCKWELL DRIVE NE<br>CEDAR RAPIDS IA 52402  | Endorsement Number                                      |
|   | Policy Number<br>Symbol: WCF    Number: (21) 7176-43-42 |
| Policy Period<br>09-27-2020 TO 09-27-2021   | Effective Date of Endorsement<br>09-27-2020             |
| Issued By (Name of Insurance Company)<br>FEDERAL INSURANCE  |   |
| Insert the policy number. The remainder of the information is to be completed only when this endorsement is issued subsequent to the preparation of the policy. |   |

**CALIFORNIA WAIVER OF OUR RIGHT TO RECOVER FROM OTHERS ENDORSEMENT**

This endorsement applies only to the insurance provided by the policy because California is shown in Item 3.A. of the Information Page.

We have the right to recover our payments from anyone liable for an injury covered by this policy. We will not enforce our right against the person or organization named in the Schedule, but this waiver applies only with respect to bodily injury arising out of the operations described in the Schedule, where you are required by a written contract to obtain this waiver from us.

You must maintain payroll records accurately segregating the remuneration of your employees while engaged in work described in the Schedule.

**Schedule**

1. ☐ Specific Waiver  
Name of person or organization:
- ☒ Blanket Waiver  
Any person or organization for whom the Named Insured has agreed by written contract to furnish waiver.

2. Operations:

3. Premium:

The premium charge for this endorsement shall be 1.0 percent of the California premium developed on payroll in connection with work performed for the above person(s) or organization(s) arising out of the operations described.

4. Minimum Premium: \$0



Authorized Representative



**FORM 3: CMD NON-DISCRIMINATION AFFIDAVIT**

1. I will ensure that my firm complies fully with the provisions of Chapter 14B of the San Francisco Administrative Code and its implementing Rules and Regulations and attest to the truth and accuracy of all information provided regarding such compliance.
2. Upon request, I will provide the CMD with copies of contracts, subcontract agreements, certified payroll records and other documents requested so the CMD may investigate claims of discrimination or non-compliance with either Chapter 12B or Chapter 14B.
3. I acknowledge and agree that any monetary penalty assessed against my firm by the Director of the Contract Monitoring Division shall be payable to the City and County of San Francisco upon demand. I further acknowledge and agree that any monetary penalty assessed may be withheld from any monies due to my firm on any contract with the City and County of San Francisco.
4. I declare and swear under penalty of perjury under the laws of the State of California that the foregoing statements are true and correct and accurately reflect my intentions.

Signature of Owner/Authorized Representative:

*Chris Kamin*

Owner/Authorized Representative (Print)

Chris Kamin,

Name of Firm (Print)

Northpointe, Inc.

Title and Position

Interim General Manager

Address, City, ZIP

1764 Forest Ridge Drive, Traverse City, MI 49686

Federal Employer Identification Number (FEIN):

99-0365507

Date:

2/11/2021



**Karen L. Fletcher**  
Chief Adult Probation Officer

*Protecting the Community, Serving Justice and  
Changing Lives*

Angela Calvillo, Clerk of the Board  
Board of Supervisors  
1 Dr. Carlton B. Goodlett Place, Room 244  
San Francisco, CA 94102

Dear Ms. Calvillo:

Attached please find an electronic copy of the proposed Resolution for the Board of Supervisors approval, which requests the Board's approval of the fifth amendment to our agreement with Northpointe Software, Inc. to extend the performance period for an additional 12-months, for a total term of eleven years (March 7, 2011 through March 7, 2022); there will be no change to the agreement's not-to-exceed amount.

The Office of Contract Administration has reviewed and approved ADP's request to extend the agreement's performance period, in accordance with the San Francisco Administrative Code, Regulation 21.30: Proprietary Articles Software Licenses, Support, and Proprietary Articles Equipment Maintenance. Furthermore, Charter Section 9.118 requires that contracts or agreements entered into by a department, board or commission having a term in excess of ten years shall be subject to approval of the Board of Supervisors by resolution.

The following is a list of accompanying documents for your review.

|   |  |
|---|--|
| 1) <b>ADP-Northpointe_Resolution_Proposed (Word)</b>                              | 7) Northpointe, Software Inc./ADP - Executed Original Agreement DT CIO Approval (Service Request SER0341380) |
| 2) <b>Northpointe, Software Inc./ADP - Fifth Amendment</b>                        | 8) OCA Approved Request to Waive Competitive Solicitation Requirements (OCAWVR0004383)                       |
| 3) Northpointe, Software Inc./ADP - Executed Fourth Amendment                     | 9) CA Secretary of State, Corporation-Statement of Information   |
| 4) Northpointe, Software Inc./ADP - Executed Third Amendment                      | 10) Certificate of Insurance   |
| Northpointe, Software Inc./ADP - Executed Second Amendment                        | 11) CMD Form 3   |
| 5) Northpointe, Software Inc./ADP - Executed First Amendment                      | 12) PSC 4050 1011_Mod 4_Aproved  |
| 6) Northpointe, Software Inc./CCSF - Executed Assignment and Assumption Agreement |  |

The following person(s) may be contacted regarding this matter:

Verónica Martínez, Principal Administrative Analyst/Acting Chief Financial Officer,  
veronica.martinez@sfgov.org  
(628) 652-2325

Elisa Baeza, Senior Administrative Analyst  
elisa.baeza@sfgov.org  
(628) 652-2349

Respectfully,

Karen L. Fletcher, Chief Adult Probation Officer  
karen.fletcher@sfgov.org  
(628) 652-2335



## San Francisco Ethics Commission

25 Van Ness Avenue, Suite 220, San Francisco, CA 94102

Phone: 415.252.3100 . Fax: 415.252.3112

[ethics.commission@sfgov.org](mailto:ethics.commission@sfgov.org) . [www.sfethics.org](http://www.sfethics.org)

Received On:

File #: 210908

Bid/RFP #: OCAWVR0002937

### Notification of Contract Approval

SFEC Form 126(f)4

(S.F. Campaign and Governmental Conduct Code § 1.126(f)4)

A Public Document

Each City elective officer who approves a contract that has a total anticipated or actual value of \$100,000 or more must file this form with the Ethics Commission within five business days of approval by: (a) the City elective officer, (b) any board on which the City elective officer serves, or (c) the board of any state agency on which an appointee of the City elective officer serves. For more information, see: <https://sfethics.org/compliance/city-officers/contract-approval-city-officers>

#### 1. FILING INFORMATION

|   |   |
|---|---|
| <b>TYPE OF FILING</b>                                       | <b>DATE OF ORIGINAL FILING (for amendment only)</b> |
| original  |   |
| <b>AMENDMENT DESCRIPTION – Explain reason for amendment</b> |   |
|   |   |

#### 2. CITY ELECTIVE OFFICE OR BOARD

|                        |                                      |
|------------------------|--------------------------------------|
| <b>OFFICE OR BOARD</b> | <b>NAME OF CITY ELECTIVE OFFICER</b> |
| Board of Supervisors   | Members                              |

#### 3. FILER'S CONTACT

|                                  |                                |
|----------------------------------|--------------------------------|
| <b>NAME OF FILER'S CONTACT</b>   | <b>TELEPHONE NUMBER</b>        |
| Angela Calvillo                  | 415-554-5184                   |
| <b>FULL DEPARTMENT NAME</b>      | <b>EMAIL</b>                   |
| office of the clerk of the Board | Board.of.Supervisors@sfgov.org |

#### 4. CONTRACTING DEPARTMENT CONTACT

|                                     |  |
|-------------------------------------|--|
| <b>NAME OF DEPARTMENTAL CONTACT</b> | <b>DEPARTMENT CONTACT TELEPHONE NUMBER</b> |
| Veronica Martinez                   | 628.652.2325                               |
| <b>FULL DEPARTMENT NAME</b>         | <b>DEPARTMENT CONTACT EMAIL</b>            |
| ADP Adult Probation                 | veronica.martinez@sfgov.org                |



| 5. CONTRACTOR  |  |
|--|--|
| <b>NAME OF CONTRACTOR</b><br>Northpointe Software, Inc.  | <b>TELEPHONE NUMBER</b><br>330-470-0772  |
| <b>STREET ADDRESS (including City, State and Zip Code)</b><br>1764 Forest Ridge Dr., Suite A Traverse City, MI 49686 | <b>EMAIL</b><br>chris.kamin@equivant.com |

| 6. CONTRACT   |   |  |
|---|---|--|
| <b>DATE CONTRACT WAS APPROVED BY THE CITY ELECTIVE OFFICER(S)</b>   | <b>ORIGINAL BID/RFP NUMBER</b><br>OCAWVR0002937 | <b>FILE NUMBER (If applicable)</b><br>210908 |
| <b>DESCRIPTION OF AMOUNT OF CONTRACT</b><br>\$768,950   |   |  |
| <b>NATURE OF THE CONTRACT (Please describe)</b><br>Fifth Amendment is to extend the term only, for continued maintenance and support of the Northpointe Suite Perpetual License for an additional period of one (1) year, through March 7, 2022. The total term is 3/7/2011 to 3/7/2022. The contract amount remains unchanged. |   |  |

| 7. COMMENTS |
|-------------|
|             |

| 8. CONTRACT APPROVAL                |  |
|-------------------------------------|--|
| This contract was approved by:      |  |
| <input type="checkbox"/>            | THE CITY ELECTIVE OFFICER(S) IDENTIFIED ON THIS FORM   |
| <input checked="" type="checkbox"/> | A BOARD ON WHICH THE CITY ELECTIVE OFFICER(S) SERVES<br>Board of Supervisors                                   |
| <input type="checkbox"/>            | THE BOARD OF A STATE AGENCY ON WHICH AN APPOINTEE OF THE CITY ELECTIVE OFFICER(S) IDENTIFIED ON THIS FORM SITS |

**9. AFFILIATES AND SUBCONTRACTORS**

List the names of (A) members of the contractor's board of directors; (B) the contractor's principal officers, including chief executive officer, chief financial officer, chief operating officer, or other persons with similar titles; (C) any individual or entity who has an ownership interest of 10 percent or more in the contractor; and (D) any subcontractor listed in the bid or contract.

| #  | LAST NAME/ENTITY/SUBCONTRACTOR | FIRST NAME | TYPE                    |
|----|--------------------------------|------------|-------------------------|
| 1  | Miller                         | Mark       | CEO                     |
| 2  | Beattie                        | Brian      | CFO                     |
| 3  | Beattie                        | Brian      | Other Principal Officer |
| 4  |                                |            |                         |
| 5  |                                |            |                         |
| 6  |                                |            |                         |
| 7  |                                |            |                         |
| 8  |                                |            |                         |
| 9  |                                |            |                         |
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**9. AFFILIATES AND SUBCONTRACTORS**

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| #  | LAST NAME/ENTITY/SUBCONTRACTOR | FIRST NAME | TYPE |
|----|--------------------------------|------------|------|
| 20 |                                |            |      |
| 21 |                                |            |      |
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| 38 |                                |            |      |

**9. AFFILIATES AND SUBCONTRACTORS**

List the names of (A) members of the contractor's board of directors; (B) the contractor's principal officers, including chief executive officer, chief financial officer, chief operating officer, or other persons with similar titles; (C) any individual or entity who has an ownership interest of 10 percent or more in the contractor; and (D) any subcontractor listed in the bid or contract.

| #  | LAST NAME/ENTITY/SUBCONTRACTOR | FIRST NAME | TYPE |
|----|--------------------------------|------------|------|
| 39 |                                |            |      |
| 40 |                                |            |      |
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| 50 |                                |            |      |

☐ Check this box if you need to include additional names. Please submit a separate form with complete information. Select "Supplemental" for filing type.

**10. VERIFICATION**

I have used all reasonable diligence in preparing this statement. I have reviewed this statement and to the best of my knowledge the information I have provided here is true and complete.

**I certify under penalty of perjury under the laws of the State of California that the foregoing is true and correct.**

|   |                    |
|---|--------------------|
| <b>SIGNATURE OF CITY ELECTIVE OFFICER OR BOARD SECRETARY OR CLERK</b> | <b>DATE SIGNED</b> |
| BOS Clerk of the Board  |                    |