

Statement of Work **(Project Workplan)**

Lake County IL (“Client”)

and

Journal Technologies, Inc. (“JTI”)



JTI Project Phases and Plan

eSupervision is installed as a functional configuration of Folder Views, Add and Update forms, selected workflows, and Searches. We will work with designated Client project managers, business analysts, subject matter experts, and IT staff to configure eSupervision. The availability of the Client personnel will be a critical factor in timely meeting the project goals herein.

Client acknowledges and agrees that, while Journal Technologies will make commercially reasonable efforts to accommodate requirements in the manner provided by Client, existing configuration capabilities of the Licensed Software may in some instances require adaptation of provided requirements such that they more nearly comport with the existing configuration capabilities of the Licensed Software. Client and Journal Technologies agree to work in good faith in determining such required areas of adaptation.

Project Phases and Plan

We will work together under these general phases to implement the system.

A. Project Planning and Initiation

Journal will stand up the base, unconfigured eSupervision system in Journal's Cloud and will set-up one administrator account for the Client-appointed system administrator. Journal will then invoice Client pursuant to the Deliverable Payment Milestone Schedule, plus the annual hosting fee.

Initial kick-off meetings to commence this Project Planning and Initiation phase are estimated to occur within 30-60 days after contract signing. During this phase, the project schedule will be solidified, JTI/Client personnel (including staff that will be a part of the Client Help Desk) will be assigned tasks. For on-prem installations, the Client IT department will set up necessary instances of the system for purposes of Configuration, Conversion, Testing and Production etc. Initiating and other documents and tools will be provided, and the foundation for communication and requirements gathering will be established.

B. Case Structure

The purpose of this phase is to ensure that the Client can capture all of the case data required in the system.

JTI will install the system and demonstrate the system including these Case Types and Modules to be captured:

- Juvenile Detentions Module
 - Client to provide maps of the detention center
 - Client to provide list of temp locations
 - JTI to draw SVG with maps and import into the system
 - Client will verify facility and room data is correct within 15 work days. If no issues are reported with 15 days, then the maps will be deemed to be accepted.
 - JTI will fix map related issues and the Client will test again.
- Probation (Adult and Juvenile)

- Client and JTI will identify the adequate number of sample cases to enter in the system to identify missing data elements.
- Client will enter the cases in the system, identify missing data elements, and report back in a requirements document.
- JTI will update the system to capture the missing elements per the requirements document.
- Client will verify and report any instances where the system does not meet the requirements specified in the requirements document within 15 workdays. If no issues are reported within 15 days, then the system configuration will be deemed to be accepted.
- JTI will fix any issues and the Client will test again.
- Pretrial
 - Client and JTI will identify the adequate number of sample cases to enter in the system to identify missing data elements.
 - Client will enter the cases in the system, identify missing data elements, and report back in a requirements document.
 - JTI will update the system to capture the missing elements per the requirements document.
 - Client will verify and report any instances where the system does not meet the requirements specified in the requirements document within 15 workdays. If no issues are reported within 15 days, then the system configuration will be deemed to be accepted.
 - JTI will fix any issues and the Client will test again.
- Problem Solving Courts
 - Client and JTI will identify the adequate number of sample cases to enter in the system to identify missing data elements.
 - Client will enter the cases in the system, identify missing data elements, and report back in a requirements document.
 - JTI will update the system to capture the missing elements per the requirements document.
 - Client will verify and report any instances where the system does not meet the requirements specified in the requirements document within 15 workdays. If no issues are reported within 15 days, then the system configuration will be deemed to be accepted.
 - JTI will fix any issues and the Client will test again.

C. Financial Structure (if applicable)

In this phase, the Client's fines and fees are set-up to distribute according to statute, and for the Client to test to verify that all fines and fees are distributing correctly.

- Statute Table
 - JTI will train Client personnel on statute management.
 - JTI will provide statute table spreadsheet to Client personnel.
 - Client will complete statute table spreadsheet.
 - JTI review statute table spreadsheet with Client, and Client will update as needed.
 - JTI will replace the baseline system statutes with the Client's statutes.
 - Client will thereafter maintain its statute table.

- Financials

- JTI will discuss fines and fees distribution configuration and the disposition widget with Client to obtain an understanding of the requirements.
- Client will provide chart of accounts and written breakdown of assessments.
- JTI will document the proposed configuration of financials and receive approval from the Client before configuration.
- JTI will load statutes, chart of accounts, and distributions.
- JTI will configure assessments and update statutes based on assessments.
- Client will test all financial configuration and report back any issues where the configuration does not match the requirements within 15 workdays. If no issues are reported within 15 days, then the system configuration will be deemed to be accepted.
- JTI will fix reported issues and the Client will test again.

D) Data Conversion

This Section D is a general outline of the Data Conversion process. The process is spelled out in greater detail in the attached Data Conversion Plan. The plan defines key responsibilities that fall upon the Client and JTI and tasks directly related to the ability to successfully deliver a data conversion on time and within budget.

The scope of this conversion will include the following source system(s):

- **Automon (CE & AIMS)**
- **Tracker**

Data Conversion Phases Overview

1. Initiation

- 7 The initiation phase facilitates the planning of the data conversion and will include discussions around schedules, resources, security, environments, documentation, and communication plans.

2. Mapping

- 7 The goal of the mapping phase is to identify the Client's legacy system data that needs to be converted to the eSeries configuration. Mapping is broken down into three distinct areas:
 - i. Case data mapping
 - ii. Document data mapping (if applicable)
 - iii. Financial data mapping (if applicable)

3. Iterations 1, 2, 3

- 7 Iterations are designed to formalize the delivery of a data conversion, with an agreed upon exit criteria. Iterations exercise the entirety of a data conversion, starting with delivery of the source data by the client, JTI scripting the conversion, JTI unit testing, JTI delivery to a test environment and Client testing of the conversion. We include up to three iterations in a typical project.

4. Go-Live Prep

- 7 The Go-Live Prep phase allows JTI and the Client the ability to evaluate the results of the data conversion through a series of mock conversions to simulate the execution of the Go-Live conversion process. When conversion acceptance occurs, the system is deemed ready for launch.

5. Go-Live

- 7 At Go-Live, the final data conversion is completed, and deployed to the production environment. The eSeries system is officially and formally available to users who can then initiate transactions in the new system.

E) Interfaces

The scope of the interfaces for this implementation will include the following:

- SOCRATA – outbound
 - eCourt – bi-directional
 - eProsecutor – bi-directional
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- For the SOCRATA interface, Client will provide Interface Specification Document. The document will include all information necessary to develop the interface, including:
 - File layouts, sample files to be used in testing, existing specification documents, and will assist JTI with the data element mappings between the two systems.
 - Other requirements such as filtering, throttling, queuing, transaction record retention period, and resending/republishing of messages.
 - Frequency/trigger information, specification of data transport mechanism requirements, port and firewall rules, and secure networking requirements.
 - Monitoring and reporting requirements, identification of exception types and processing of transactions, and bandwidth requirements based on expected transaction volumes.
 - JTI will develop the interface to the requirements in the Interface Specification Document.
 - Client will test the interface and report issues where the interface does not match the requirements specified in the Interface Specification Document within 15 workdays. If no issues are reported within 15 days, then the system configuration will be deemed to be accepted.
 - JTI will fix reported issues and the client will test again.
 - There will be a maximum of 3 iterations of testing
 - The client will be responsible for ensuring the cooperation of its other contractors that are counterparties to the interfaces.

eSeries Exchanges: the eSeries-to-eSeries exchanges shall include:

1. Probation initiated document exchange to State's Attorney.
Utilizing the rest API features of eSeries, eProbation will initiate cases in the eProsecutor system based on specified triggers for these types of cases
 - Exchange 1: Juvenile Petitions
 - i. New Petition
 - ii. Transfer In
 - Exchange 2: Pretrial Referrals
 - Exchange 3: Probation
 - i. Transfer In
 - ii. Violation Of Probation
2. Probation initiated document exchange to Court
 - Exchange 1: Document submission to court

3. Court initiated data transfer to Probation

- o Case Data
 - i. Court Case Number
 - ii. Agency Report Number
 - iii. Filing/referral Type
 - iv. Referred/Requested Charges, Filed Charges
- o Defendant Data
 - i. Name
 - ii. Personal information (DOB, SSN, etc, Address, Telephone, etc.)
- o Documents
- o Events (Hearings/Scheduled Events)
- o Pre-Sentence Investigation Request
- o Charge Sentences and Conditions
- o Probation and Probation Conditions
- o Subsequent Court to Probation Exchanges:
- o Bench Warrants
 - i. Issued
 - ii. Quashed/Dismissed

4. Cross-Environment Folder View

Without direct exchanging of specific fields, eProbation and eCourt will present a Summary Folder View of real-time data found in the other "sister" system. This allows data elements not needed for data entry or case processing to only be viewed when needed. The Justice Partner Connect folder view is easily updated and maintained in the source system without any changes to the interface.

- eProbation search to find eCourt cases
 - o Name
 - o Dob
 - o identification
 - o Case Number
 - o Filing date
- eProbation's summary view of eCourt information
 - o Case data/summary
 - o Probation terms and sentencing information
 - o Filing cabinet (Police Reports, Orders, etc.)
 - o Hearings
 - o Financials
- eCourt search of eProbation
 - o Name
 - o Dob

- o Identification
 - o Supervision Type
 - o Supervision date
- eCourt's view of eProbation
 - o Supervision status
 - o Terms and Conditions
 - o Summary of probation

F) Document Templates (up to 30)

- Client will provide inventory of document templates, including samples and specifications.
- Client and JTI will configure the document templates.
- Client will test configuration meets the requirements and report issues where the configuration does not meet the requirements within 15 workdays. If no issues are reported within 15 days, then the system configuration will be deemed to be accepted.
- Client and JTI will fix any issues and the Client will test again.
- There will be a maximum of 3 iterations for testing.
 - **SMS Templates** – JTI will include up to 15 SMS automated templates with fillpoints.

G) Workflow Processes (up to 30)

- Client will document configuration requirements with JTI's assistance.
- JTI and Client will identify changes and will finalize the new workflows.
- JTI will configure the new workflows in the system.
- Client will test if the configuration meets the requirements and report issues where the configuration does not meet the requirements within 15 workdays. If no issues are reported within 15 days, then the system configuration will be deemed to be accepted.
- JTI will fix the reported issues and the Client will test again.
- There will be a maximum of 3 iterations for testing.
 - **Business Rules** – JTI will provide up to 50 additional Business Rules

H) Searches and Reports (up to 30)

- Client will provide an inventory of searches and reports, including samples, specifications and distributions.
- JTI and Client will determine the searches and reports needed in the future system.
- Client will document the search/report requirements with JTI's assistance.
- Client and JTI will configure the searches and reports.
- Client will test configured search/reports within 15 workdays and report any issues. If no issues are reported within 15 days, then the system configuration will be deemed to be accepted.
- JTI will fix the reported issues and the Client will test again.
- There will be a maximum of 3 iterations for testing.

I) Public Portal (enables an unlimited number of members of the public to access the portal with unlimited use)

- JTI will demonstrate the functionality to the Client's IT staff for evaluation.
- Client will provide JTI a set of written use cases following the demonstrated functionality.
- JTI and Client will determine the use cases to be implemented in the portal.
- JTI will implement the necessary Portal configuration to support the use cases.
- Once JTI completes the initial configuration, Client will begin acceptance testing against the functionality defined in the use cases.
- Client will report issues where the configuration does not match the specification within 15 workdays to JTI and the appropriate configuration changes will be made. If no issues are reported within 15 days, then the system configuration will be deemed to be accepted.
- JTI will fix the reported issues and the client will test again.
- There will be a maximum of 3 iterations for testing.

J) Full system testing

- Client and JTI will develop a testing plan.
- Client will conduct full system testing per the testing plan report issues where the configuration does not match the specification within 15 workdays to JTI and appropriate configuration changes will be made. If no issues are reported within 15 days, then the system configuration will be deemed to be accepted.
- JTI will fix the reported issues and the client will test again.
- There will be a maximum of 3 iterations for testing.

K) Cutover Plan, Implementation Training and Deployment

- Client and JTI will determine the deployment plan and schedule.
- Client, with JTI's assistance, will develop a training plan.
- Client will deliver end user training.
- JTI will create a deployment plan with Client's assistance.
- Prior to the go-live Client will sign a formal acceptance that the system configurations fulfill its requirements and will pay fees outlined in the Professional Services Agreement and License, Maintenance and Support Agreement.
- Final conversion and deployment will bring the system live in the production environment.

L) Stabilization Phase

- After go-live JTI's Implementation Team will support the new system, addressing issues that arise, monitor system performance, make adjustments as necessary, and support the Client as needed.
- The Stabilization Phase will last 90 days.
- After 90 days, a Support Hand-Off meeting will take place between the JTI Implementation Team, JTI Support Team, and Client. Introductions will take place and information passed along to ensure a smooth hand-off and understanding of how the Client will interact with JTI Support thereafter.

Assumptions

- Time is of the essence. For each defined test cycle, the Client will conduct its tests within 15 days and within that time report issues where the configuration does not match the specification. If JTI and the Client mutually agree, work assigned to testing will notify key project resources of the readiness to test, with a reminder prior to the 15-day deadline if no feedback or acceptance have been received. The work can be automatically accepted upon reaching the 15-day deadline to continue the pace. Items automatically accepted can be reviewed and impact to timeline or budget discussed if changes to the initial requirements are needed.

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Data Conversion Plan

JTI has developed the Data Conversion Plan to describe the strategy, preparation, and process for converting data from the client legacy system into the JTI eSeries product. This plan defines key responsibilities that fall upon both the client and JTI and tasks that are directly related to the ability to successfully deliver a data conversion on time and within budget.

The intended audience of the Data Conversion Plan is the project sponsor and the integrated project team.

The Data Conversion Plan is a five-phase process for completing a data conversion.

Data Conversion Phases Overview

- **Initiation**

The initiation phase facilitates the planning of the data conversion and will include discussions around schedules, resources, security, environments, documentation, and communication plans.

- **Mapping**

The goal of the mapping phase is to identify the client's legacy system data that needs to be converted to the eSeries configuration. Mapping is broken down into three distinct areas:

- Case data mapping
- Document data mapping (if applicable)
- Financial data mapping (if applicable)

- **Iterations 1, 2, 3**

Iterations are designed to formalize the delivery of a data conversion, with an agreed upon exit criteria. Iterations exercise the entirety of a data conversion, starting with delivery of the source data, scripting the conversion, unit-testing, delivery to a test environment and client testing. We include up to three iterations in a typical project.

- **Go-Live Prep**

The Go-Live Prep phase allows JTI and the client the ability to evaluate the results of the data conversion through a series of mock conversions to simulate the execution of the Go-Live conversion process. When conversion acceptance occurs, the system is deemed ready for launch.

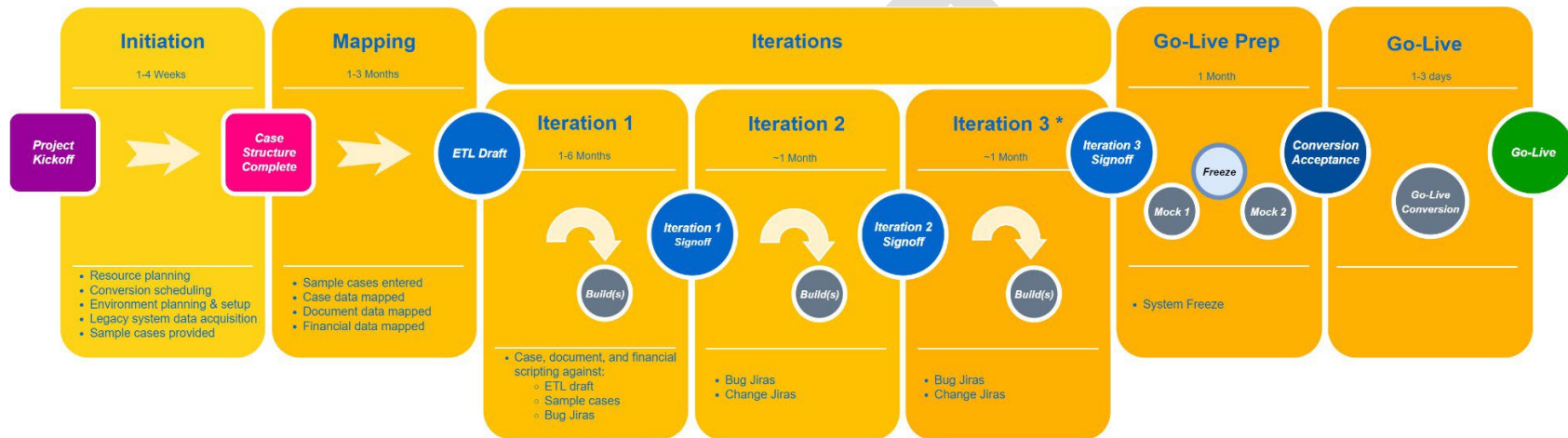
- **Go-Live**

At Go-Live, the final data conversion is completed, and deployed to the production environment. The eSeries system is officially and formally available to users who can then initiate transactions in the new system.

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Data Conversion Roadmap

The roadmap provides a high-level visual representation of the conversion process from project kickoff through Go-Live.



Initiation Phase

The first step of the initiation phase is for the JTI implementation team, JTI data conversion team and client teams to meet, review and accept the Data Conversion Plan. A data conversion kick-off meeting will be scheduled by the conversion team lead with the JTI and client teams. The initiation phase will include discussions around schedules, resources, security, environments, documentation, and communication plans.

Assumptions:

- The Data Conversion Plan must be accepted by the client and signed off before proceeding with initiation phase tasks and subsequent phases.

The project timeline will be reviewed, and key dates required by the data conversion team will be established, including the target case structure completion date and the preliminary Go-Live date. While these dates may be adjusted during the project, initial target dates will be established. These dates will be tracked via SharePoint calendar to provide a visual timeline of the conversion project milestones.

The Conversion team will internally track the following conversion milestone target dates, and adjust as needed:

- Case Structure Complete
- Iteration 1 Delivery
- Iteration 1 Client Signoff
- Iteration 2 Delivery
- Iteration 2 Client Signoff
- Iteration 3 Delivery
- Iteration 3 Client Signoff
- Mock 1
- System Freeze
- Mock 2
- Client Conversion Acceptance
- Go-Live Conversion
- Go-Live

JTI and client data conversion team resources will be allocated and scheduled to support the project timelines. Durations of each phase are a direct result of resources allocated, responsiveness of the client SMEs (subject matter experts), as well as the complexity of the requirements of the conversion and vary drastically from project to project.

Security background checks or clearances will be completed to satisfy client data security requirements. All JTI conversion resources are CJIS (Criminal Justice Information Services) certified.

Legacy system details need to be provided to JTI to assist in the conversion server requirements recommendations. The client will need to provide the legacy system data metrics, including file size of data tables and record counts of cases participating in the conversion.

Data conversion environment recommendations will be established based on the information provided by the client. Data conversions will be performed either within an environment hosted by the client (local or cloud based) or in a hosted JTI Amazon Web Services Gov Cloud secure environment for an additional cost. This allows the client to ensure its data, both in-transit and at rest, is always in a secure and controlled environment.

Once conversion server specifications have been provided by JTI and the conversion server made accessible to JTI (local or cloud based), the client will need to provide a copy of the legacy system data, preferably in the form of a SQL backup file to the Microsoft SQL Server conversion server, to facilitate the Mapping Phase activities. If the source system is not SQL-based, a plan will need to be established for the client to provide the data in a SQL-compatible format on the conversion server. Legacy system vendors typically prohibit us from directly accessing source data directly.

The source data will need to be delivered in a consistent and repeatable fashion by the client, multiple times during the project. Ideally, data should be provided:

- At the start of the Initiation Phase *
- As part of each Iteration
- At the start of Mock 1
- At the start of Mock 2 *
- At Go-Live for the Go-Live conversion *
- On demand, as needed to facilitate mapping, scripting and testing activities

Constraint:

- If the client is restricted to a limited number of source data extracts from a vendor as an example, a custom plan will need to be established. Three deliveries are required at a minimum, denoted by * above.

Assumptions:

- JTI will only convert the data provided by the client and is not accountable for data not provided.
- The source data must be delivered in a consistent and repeatable fashion by the client, multiple times during the project.
- The client will provide JTI source data in the form of a SQL-backup.
- Atlassian Confluence and Microsoft SharePoint sites will be used to store project artifacts.
- Atlassian Jira will be used for issue tracking.
 - The JTI data conversion Team Lead will import all of the conversion-related Jira tickets.
- JTI's internal conversion standup meetings will be established and continue through the project Go-Live.
 - Meeting cadence will start monthly and move to biweekly, or weekly, as the project warrants.
- The JTI data conversion team will perform the conversion using a proprietary data conversion application.

For JTI to understand the legacy system and its data structure, the client will provide existing legacy system information, which will include:

- Operating system and database management system name
- Database type (relational or hierarchical)
- Data tables and fields names
- Data field descriptions
- Images metadata and storage information
- Vendor or other relevant contact information
- Data dictionaries (ERDs)
- Sample cases to be used for the mapping and testing of the data conversion need to be provided by the client. This includes:
 - Three to five fully populated and disposed cases per case grouping.
 - Examples for Court clients might include: family, civil, juvenile, probate, mental health, adoption, small claims, criminal, and traffic.
 - Examples for Prosecutor clients might include: filed criminal, unfilled criminal, juvenile jacket, investigations, victim services, criminal appeals, prior convictions.
 - During the mapping or scripting process, JTI may request additional sample cases or screen shots of the existing data to illustrate a specific piece of logic.

The Initiation Phase concludes with the completion of the Case Structure configuration phase. Being Case Structure complete from a data conversion standpoint means that all data to be converted from the legacy system has a “home” in the eSeries configuration. If the client can successfully enter sample cases into the eSeries configuration, then there should be a mapping destination in eSeries to store the converted data.

Mapping Phase

The goal of the mapping phase is to identify the client's legacy system data that needs to be converted to the eSeries configuration. Mapping is broken down into three distinct areas:

- Case data mapping
- Document data mapping (if applicable)
- Financial data mapping (if applicable)

Data Mapping

- Once the JTI implementation team and client have completed the eSeries Case Structure configuration tasks, the data conversion mapping tasks start.
- JTI, with client assistance, will map the legacy system data to the eSeries configuration tables and fields. This includes mapping of codified legacy system values to eSeries lookup list values. This mapping will be completed in an Excel ETL (Export, Transform, and Load) mapping document provided by JTI. This is a configuration-specific document generated once the Case Structure configuration tasks are complete. It defines tables, fields, and lookup list values available within the eSeries configuration. It provides a format for mapping those locations from the legacy system tables, fields and code values. Logic will be documented to handle the requirements of the data conversion within the ETL mapping document.
- JTI, with client assistance, will map the documents (if applicable) using the ETL mapping document.
- JTI, with client assistance, will determine the logic for financials (if applicable) and document them using the ETL mapping document.
 - Only pending balance legacy receivables will be converted as receivables in eSeries. Invoices (AKA receivables), Trusts, Restitution, and Pay Plans can be mapped for the financial conversion, depending on the data available in the legacy system. Additional financial data is typically converted into custom eSeries tables. These provide a read-only view of the legacy data in eSeries for reference. The Client can define the tables and data elements for these historical records as part of the mapping.

Assumptions:

- The Client will be responsible for all communication with the legacy data system vendor or any partners/third parties/technical staff required for successful completion of all data conversion activities.

- All conversion logic is maintained in the Excel ETL mapping document. This is custom to each project and provided by JTI.
- The JTI conversion team will attempt to map the data using the sample cases provided by the client.
- The client is ultimately responsible for providing the logic to be used and signing off on the ETL mapping document.
- Mapping tasks will be assigned to both the JTI implementation teams and client teams to facilitate the mapping process.

Constraints:

- The contract between JTI and the client will specify the legacy systems in scope for the JTI conversion. Additional data sources, not covered in the contract, will require a change request, and will be considered out of scope. There will be an impact, in both time and money, to the project if additional data sources are identified.

Iterations 1, 2, 3

Iterations are designed to formalize the delivery of a data conversion, with an agreed upon exit criteria. While there may be multiple conversion builds that make up an iteration, the goal is to complete the data conversion following the requirements in the ETL mapping document in the most timely and efficient manner.

Iteration 1 will be a result of an agile ETL mapping process. JTI will utilize sample cases and potentially agile working sessions with the client SMEs (subject matter experts) to gather the ETL mapping requirements to complete Iteration 1. Subsequent iterations will follow a more traditional change-controlled process. Any change Jiras with updated mapping and bug Jiras will be worked to complete the iteration.

Steps are as follows:

- The JTI data conversion team will script the conversion using the ETL mapping document for requirements. Bugs Jiras and Change Jiras will be worked as part of the Iteration.
- The JTI conversion team will unit-test the conversion against provided sample cases and the ETL mapping document. This is database-focused testing.
- The JTI implementation team will test the conversion against provided sample cases and the ETL mapping document. The focus will be on the validation of data from the front-end of the eSeries configuration.
- Deployment of the conversion to the conversion test environment for the client's review.
- Client data conversion testing. The client has the ultimate responsibility for testing the conversion against the logic documented in the ETL.
 - a. **The client will have 15 working days from the date of conversion delivery to test the conversion and complete the iteration.**

- b. Client data testing should result in one of three outcomes:
 - i. A successful test and validation of the converted data against the ETL mapping document, resulting in the signoff of the iteration.
 - ii. A Jira ticket(s) identifying a discrepancy in the test case against the requirement from the ETL mapping document. This is a *bug*, and bugs are typically corrected in the current iteration with delivery of a new conversion build.
 - iii. A Jira ticket(s) identifying a change in a requirement from the ETL mapping document. This is a *change*, and changes will typically be delivered in the next iteration.
- Client acceptance of the conversion via signature on an acceptance form, which constitutes our completion of the iteration.

Assumptions:

- The conversion scripting logic is not intended as a data clean-up or data correction exercise. Issues may be identified during the scripting or testing cycles that may result in:
 - Records identified that the client may wish to adjust in the legacy system prior to the next iteration.
 - Records identified for manual clean-up by the client post-Go-Live.
- If no issues are reported within 15 working days from the date of delivery on the iteration, then the conversion will be deemed to be accepted, and the iteration complete.
- Client acceptance of the current iteration is required before proceeding with the next iteration.

Risks:

- Any scripting changes or requests identified after the third iteration sign-off will result in scheduling an additional iteration at an additional cost.
- The conversion is only as good as the client testing completed during the iteration cycles. Poor testing can result in data issues after Go-Live.
- Post-Go-Live changes are not part of the Data Conversion Plan. Post-Go-Live changes are high risk and could result in downstream data integrity issues with unintended consequences. While manual updates are recommended, if scripting assistance from JTI is requested, they will be evaluated and addressed as new project scope.

Go-Live prep / Go-Live

After the last iteration has been accepted by the client, Go-Live preparation activities can commence.

A conversion timeline will be drafted, published to SharePoint and shared with the teams. This timeline will identify the key steps for the conversion. It also identifies the process, time, resource, and communication procedures to keep the entire team in-sync. Once a detailed timeline is in place, two

mock conversions will be scheduled. Each mock conversion will execute all the steps of the conversion as though the client was going live at the completion of the mock conversion.

The mock conversion will include delivery of the source data from the client to the conversion server, execution of the conversion by the JTI conversion team, delivery of the conversion into the Client's eSeries Testing/Production environments, and validation of the conversion by the Client.

Any procedural issues identified during the mock will be addressed to complete the mock conversion, and steps will be taken to mitigate any risks during the next mock conversion or during the Go-Live conversion.

After the first mock, the teams should coordinate the system freeze. During the freeze, no configuration changes, conversion logic changes or eSeries build or version updates should occur. A second mock conversion will be executed as close to Go-Live as possible to validate the plan for the Go-Live conversion, while the system is frozen. The frozen eSeries configuration, eSeries application version, and frozen conversion script will be used for the Go-Live conversion.

If the system freeze is lifted for any reason, a successful mock conversion, with the new frozen eSeries configuration, eSeries application version, and frozen conversion script, must be completed prior to the Go-Live conversion run.

A successful mock conversion is required before Go-Live. Should the last mock conversion fail, an additional mock conversion will be completed.

What constitutes a failure?

- A condition that is unexpected such as:
 - Missing source data
 - Missing converted data
 - A halt during the execution of the conversion script
 - A missed step on the conversion timeline
 - A lifting of the system freeze

The client will be expected to sign a conversion acceptance form after the last mock conversion and before the Go-Live conversion that specifies:

The Client has received and tested the conversion, including case data, images (if applicable) and financials (if applicable). The Client has confirmed the conversion meets the requirements of the delivered Export, Transform and Load document (ETL mapping document) and authorizes JTI to proceed with the Go-Live conversion. The Client accepts the conversion without restriction and understands any conversion issues that may be identified post Go-Live will require manual updates by the Client. Any requested programmatic changes to the conversion post Go-Live, will require a separate statement of work and will incur additional costs.

This sign-off confirms that all defined and scripted logic is complete and accepted for the Go-Live conversion.

Assumptions:

- JTI will perform one Go-Live conversion.
- A Go-Live schedule is typically planned around a Friday close of business to a Monday start of business schedule, or a three-day holiday weekend to gain an extra day. Larger, more complex conversions might require more time, or unique Go-Live planning and scheduling.
- All conversion related Jiras should be completed before starting the mock conversion.
- There should be no changes during the system freeze. This is intended to give us the highest chance of success for the Go-Live conversion.
- The conversion acceptance after the last mock confirms that the Client accepts the scripted logic for the Go-Live conversion.

Client keys to data conversion success:

- JTI needs the client data early and consistently throughout the project.
- JTI needs the client to provide sample cases for each case group during the initiation phase.
- JTI needs the client to answer questions quickly during the mapping and initiation phases.
- JTI needs the client to thoroughly test at each iteration.
- JTI needs the client to report bugs or changes during, or signoff at the end of each iteration.
- JTI needs the client to sign off on the conversion before going live.

Appendix A: DATA CONVERSION PLAN Approval

The undersigned acknowledge they have reviewed the Data Conversion Plan and authorize and fund the eSeries data conversion project. The undersigned hereby give the project manager the authority to apply the approved level of organizational resources to project activities. Changes to this Data Conversion Plan will be coordinated with and approved by the undersigned or their designated representatives.

[List the individuals whose signatures are desired. Examples of such individuals are Business Sponsor and Project Manager. Add additional lines for signature as necessary. Although signatures are desired, they are not always required to move forward with the practices outlined within this document.]

Signature:	
Print Name:	
Title:	
Role:	
Date:	