

ATTACHMENT 1- SCOPE OF WORK

Stormwater Scope of Work for the City of Stockton, California.

A - Overview:

The primary objective of the Stormwater Program (Program) of the City of Stockton is to support the City in meeting NPDES stormwater permit requirements.

Consequently, the City of Stockton staff is obtaining support from SwiftComply for stormwater compliance use of a cloud-base software and services. Using this application will allow the Stormwater Program team to improve documentation and reporting of its inspections and manage a considerable amount of compliance and enforcement data and information, which will result in a streamlined and more effective and efficient Program.

B- System Requirements:

SwiftComply is a multi-tenant, cloud-hosted solution providing access via an HTTPS site through a web browser. Any internet connected device with a modern web browser can access SwiftComply. We recommend Chrome, Firefox, Safari and Edge. No hardware, nor client software is required to be installed on the City's side.

All data and metadata belongs to the City. Our database is backed up daily. All data is encrypted in transit and at rest. All access to user data is managed by session authorization, users are required to set up a password and use it along with their email address to access the application. The system is responsible for authorizing the user to access the data. Sessions expire after 12 hours and users are required to re-enter their login details.

C - Key features and capabilities:

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|---|
| Generic: |
| Dashboard |
| Sites & Parcels (searchable map and list) |
| Schedule for Inspections |
| Complaints Management |
| Letters & Emails Notices |
| |
| Management of Post-Construction Runoff |
| SwiftComply's cloud-based management system simplifies routine facility inspections. Manage inventories for both private site maintenance and source control programs, perform site visits, and record compliance histories in one platform. Save time and increase operations success with configurable inspection workflows, comprehensive reporting, and a streamlined communication process. |
| |
| Public Outreach (Public Education and Public Participation) |
| Getting information to the public has never been easier than with SwiftComply's public education and public participation modules. Create custom audiences, send out blast emails, and track open and click rates so you know the impact your MS4 is making. Within the public participation module, schedule, invite, and record events such as storm drain stenciling, booths at community events, and classes you put on. Create the event, send the invitations, take photos, and record your history of getting the public involved. |
| |
| Illicit Discharge Detection and Outfall Management |
| Track illicit discharge investigations from start to finish, create reports, and identify hotspots. With our outfalls module, perform and track inspections and exceedances. Record pollutant levels, temperature, pH, and more. If an exceedance is found, flag the entire watershed so inspectors can be on the lookout for sources of pollutants during their regular inspections. |
| |
| Jurisdictional Construction |
| Construction inspections done your way. With customizable BMPs, configure the inspection form to fit your needs. View the weather forecast for your area before and during inspections, record CESCL contact information, and send compliance notices. Simply create a construction project, perform the inspection, send a notice, and schedule a follow up visit if needed. |
| Module Descriptions |
| |
| Good Housekeeping in Municipal Management |
| SwiftComply's Good Housekeeping module includes contract and vendor management, public system mapping, structure inspections, and the ability to create, track, and complete work orders. With built-in geofencing, users in the field can search for structures near their location with the click of a button using their phone or tablet, making inspections convenient |

and fast.

MS4 Metrics

SwiftComply's MS4 metrics module allows permittees to create, track, and report on custom metrics. With the added ability to assign personnel to specific metrics, the application ensures that metric representatives are sent reminder emails to submit metric data by program deadlines.

Pollution Prevention (P2) Visits

Those who have partnered with their states oversight agency to implement a P2 program in their jurisdiction can now manage program operations in SwiftComply. Manage your inventory of participating businesses, complete site visits, and measure program performance with custom reporting.

D - Operational Plan:

SwiftComply provides a seamless transition plan that includes a dedicated project team to ensure quality control and project success. Our project governance approach is centered around communication, transparency and risk management. The following represents a high-level outline of the work plan.

Project Milestones & Schedule

Project Initiation:

Prior to kick-off the SwiftComply Implementation Manager is assigned and sends a Welcome email to the City's project team.

Deployment and Configuration

The following project implementation plan will be leveraged to ensure timely project delivery including training plan, comprehensive integration, and user acceptance test plan, business process reengineering tasks, major implementation milestones and project governance strategy.

SwiftComply has identified the following major implementation milestones:

| Schedule | Tasks |
|---|---|
| Project Kick Off - Week 1 | <ul style="list-style-type: none"> • Review current business process flows • Document functional requirements • Determine scope and fields for data migration |
| Data Preparation - Weeks 2 + 3 | <ul style="list-style-type: none"> • City validation of existing system information • Legacy software copies current data file • SwiftComply validates and creates import script |
| 'Sandbox' Testing - Weeks 3 + 4 + 5 + 6 | <ul style="list-style-type: none"> • Create 'Sandbox' testing environment • Configure custom properties and forms • Migrate sample portion of data set for city testing |
| User Acceptance and Training - Weeks 7+ 8 | <ul style="list-style-type: none"> • Migrate remaining data set • Conduct users training • Adjustments based on users' feedback |
| Go LiveStakeholder Engagement - Weeks 9+10 | <ul style="list-style-type: none"> • System Acceptance and Go Live in Production |

Project Kick-off:

- Meet the project teams, review the surveys, data mapping worksheet and timeline.
- Kick-off will serve as a meeting to align understanding of City's project team to SwiftComply's project team, set the basis for communications and schedule the first months of meetings.

Data Preparation/Clean-up:

- SwiftComply Implementation Engineer (IE) to review data prior to data migration, provide feedback on cleanup needed. IE to assist with data cleanup opportunities that can be automated.
- City to perform actual data cleanup based on SwiftComply's recommendations.

System Configuration:

- Textual Data: This typically includes sites and site contacts. If provided, SwiftComply will also import in watersheds, outfalls, historical inspection information, and PDFs. Textual data must be submitted in spreadsheet format. Sample spreadsheets for textual data sets will be provided.

- GIS Data: SHP files for both private (Post-Construction) and public structures (Good Housekeeping) will be imported during the data import process. To accurately import SHP files, the files must meet the requirements outlined by SwiftComply.

Training Plan

The training plan will be organized in three sections to reflect

- 1) early project team training prior to acceptance,
- 2) project staff training
- 3) train the trainer; this trainer/training will provide foundation for the recipient(s) to train future staff.

Information about courses, duration and materials will be outlined. SwiftComply will work with the City to meet your desired training outcomes and schedule for project completion. The contents of the training plan will detail the following elements:

- An outline all subjects necessary to train City staff to fully understand and utilize all user functions of the Solution,
- An approach to train the “trainer” so they fully understand and utilize the designed process flow based on software functionality,
- A resource plan to complete training, including reuse of materials and videos,
- A description of each training classes that will be conducted, and parameters limitations of that class/training session,
- A plan for ongoing training as new employees come on board or new features of the software are released.

Training Objectives

- Train key personnel earlier in the project so they can properly manage the acceptance test plan
- Ensure that all impacted staff receive relevant training to prepare them for using the SwiftComply application
- Ensure appropriate level of skill is reached in order to perform roles with SwiftComply application

Training Approach

To help retention of learning, SwiftComply will adopt a blend of training delivery methods to best meet the needs of the City. This will include: Instructor-Led Training, Job-aids and e-learning.

Training Roles & Responsibilities

SwiftComply will be responsible for all training materials and providing the representatives from our product and customer success teams to complete the training.

Training Materials

1. Quick Reference guides - online
Act as a job aid to assist the users once they return to their day-to-day tasks
2. Recorded Video Content - online
Remind users of key features, options, and methods of working with the SwiftComply software
3. Instructor manuals – online
Provides a comprehensive review of how each feature of the software works, and provides advice on how to use the available features

Acceptance Testing

City staff will have the ability for 2 weeks to review the Testing Environment with City sample data and system configuration. City users need to provide timely response to (accept or reject) during acceptance testing so the project can remain on schedule and comments, as may be necessary, are fully documented and returned to the SwiftComply Product Manager. Changes requested by the City can increase the 2 week testing window and will be mutually agreed.

Transition/Cut-over

A smooth transition is a good transition. The Transition Plan shall identify any existing systems and processes that could be disrupted during the cut-over process. Performance testing and acceptance shall be complete prior to transition.

Testers Onboarding & Training

Once the system is live, Testers outreach is initiated.

The Tester enrollment website is set up to collect tester and service provider data.

SwiftComply provides the recommended Tester communication plan and works with the City to implement it. SwiftComply provides communication templates; City communicates via email and/or letters with testers.

SwiftComply provides Online Tester Training - Live and recording.

SwiftComply provides first line support to Testers with phone, email, and knowledge base.

Communications

Your implementation Manager is the first point of contact until the system is live. Topics may include:

1. Accomplishments

2. Work to be accomplished for the following phase
3. Issues that might require management attention
4. Risks to the project's success.

SwiftComply and the City will schedule regular status meetings to ensure proper communication. Any changes to the project scope, cost or schedule must follow the City's change request process.

Issue Management

Issues requiring the City's attention will be documented and The City will attempt to resolve the issue within the timeframe described. If the issue cannot be resolved, then it will be escalated further and addressed by City and SwiftComply management.

Change Control Management

Any changes to the project scope (additions and/or deletions), project timeline (due to unforeseen design, infrastructure, or other issues), modifications to SwiftComply or Customer responsibilities and other actions, will be handled according to the Change Control process. This process is meant to ensure that changes to the originally defined project scope are agreed upon and managed so that the integrity of the solution is maintained and that changes are reflected in the project scope.

Changes may impact the project schedule and cost and these impacts will be clearly identified and resolved by mutual agreement.

The City will drive the process for all Change Requests:

- If SwiftComply identifies a change, it must be clearly documented and communicated.
- City will complete a Change Request identifying the change required.
- SwiftComply will then provide estimates for the change (if applicable)
- City will then review the estimates and provide approval.
- If required, a change to the purchase order will be completed and sent to SwiftComply.
- Scheduling of SwiftComply resources will be mutually agreed upon as part of the change request.
- After the change has been performed, The City will review the work and sign-off on the acceptance.

Risk Management

| Identified Risk | Priority | Mitigation Action | Responsibility |
|---------------------------|----------|---|-------------------------|
| Security clearance issues | High | SwiftComply to provide all necessary documentation in a timely manner | SwiftComply |
| Weather related delays | Low | None of the project work is weather dependent. In | Both SwiftComply & City |

| | | | |
|---|--------|--|-------------------------|
| | | the case where weather impacts travel, SwiftComply will schedule alternative dates | |
| Public health risks arising from Coronavirus | Low | Swiftcomply will monitor local health department guidance on travel restrictions. Majority of the project work is completed offsite | SwiftComply |
| Project overrun | Medium | Project governance strategy and management approach mitigates this risk | SwiftComply |
| Availability of the City IT team | Low | In the absence of City IT personnel, SwiftComply will continue to work with their knowledge and expertise. We will require some high-level interaction, however, SwiftComply trained consultants are qualified to execute without City's IT assistance. The project managers will ensure that all parties know the impact to the schedule due to resource vacations. | Both SwiftComply & City |
| SwiftComply software malfunction | Low | If the tools and Software used by SwiftComply provide inaccurate information, SwiftComply will fix the software and redo the activities at no additional cost to the City | SwiftComply |
| SwiftComply failure to meet City requirements | High | The City will review the performance of SwiftComply throughout the project and determine what mitigation strategies would be put into effect. | SwiftComply |

City Responsibilities

| City Responsibility | Potential Impact to project |
|---|--------------------------------------|
| City will designate a sole point of contact whose role it is to grant all approvals, provide information and otherwise be available to assist SwiftComply in the delivery of the service. | Impact to schedule, scope and budget |
| City will provide access to the appropriate personnel (management, technical, subject matter expertise, etc.) necessary to fulfill the contract requirements as needed. | Impact to schedule |
| City will provide appropriate procedures, guidelines, standards, reference materials, and system/application documentation as needed. | Impact to schedule |

E - Operations and Maintenance

When the system is live, a dedicated customer success manager (CSM) is assigned. Your success manager works as an extension of your team, analyzing your underlying data to provide tailored advice and help you optimize and innovate. Your CSM will be on hand to help you work through the program lifecycle. They will also empower you to track and measure your progress against your program objectives. CSM documents your successes and shares your feedback with our product development team. Your success manager will be in touch to review your performance and system usage periodically, with at least a quarterly business review. During those reviews, we look at past performance and KPIs attainment, adjust KPIs to meet the City's operational and business goals; as well as share the updated 3-6-12 months roadmap. We expect to have at least a City representative from operations, IT and contract.

For our Software Development and Maintenance methodology, Modified Agile would be the best description, with continuous delivery. Applications are scanned regularly with OWASP's ZAP to detect potential weaknesses. These are recorded and investigated to verify if we are in fact susceptible or if it is a false positive. We review new software updates and system libraries once a month to determine what is needed to be updated and when. We prefer to err on the side of caution with most patches, where unless they fix an exploitable vulnerability, we give the patch time to be applied by others to assess its potential issues. At least monthly or ad hoc when new severe vulnerabilities are discovered.