

ROCK COUNTY, WISCONSIN

**NOTE: Location,  
Date & Time**



**FINANCE COMMITTEE  
THURSDAY – MAY 23, 2019 - 5:30 P.M.  
JURY DELIBERATION ROOM - FOURTH FLOOR  
ROCK COUNTY COURTHOUSE-EAST**

**AGENDA**

1. Call to Order
2. Approval of Agenda
3. Citizen Participation, Communications and Announcements
4. Approval of Minutes – May 9, 2019
5. Transfers and Appropriations
6. Resolution and Committee Action
  - A. Authorizing Upgrade for County Citrix Environment
  - B. Authorizing Payment for Baker Tilly Security Audit
  - C. Authorizing the Purchase of the Property at 1717 Center Avenue and Amending the 2019 Facilities Management Capital Budget
  - D. Initial Resolution Authorizing General Obligation Bonds and/or Notes in an Amount Not to Exceed \$5,200,000
  - E. Amending the 2019 Human Services Department Budget to Accept ADRC-COA Integration Grant Funds and Creating an Advisory Committee
  - F. Retaining Architectural/Engineering Firm for Design Services for the Renovation of 1717 Center Avenue Building and Amending the 2019 Facilities Management Budget
7. Adjournment

The County of Rock will provide reasonable accommodations to people with disabilities. Please contact us at 608-757-5510 or e-mail [countyadmin@co.rock.wi.us](mailto:countyadmin@co.rock.wi.us) at least 48 hours prior to a public meeting to discuss any accommodations that may be necessary.



**FINANCE COMMITTEE**  
**Minutes – May 9, 2019**

**Call to Order.** Chair Mawhinney called the meeting of the Finance Committee to order at 5:50 P.M. on Thursday, May 9, 2019 in the Jury Deliberation Room, Fourth Floor, Rock County Courthouse-East.

**Committee Members Present.** Supervisors Mawhinney, Beaver, Podzilni, Yeomans and Fox.

**Committee Members Excused:** None.

**Staff Members Present.** Sherry Oja, Finance Director; Lisa Tollefson, County Clerk; Bridget Laurent, Deputy Corporation Counsel; Rich Greenlee, Corporation Counsel.

**Others Present:** None.

**Approval of Agenda.** Supervisor Fox moved approval of the agenda as presented, second by Supervisor Podzilni. ADOPTED.

**Citizen Participation, Communications and Announcements.** Supervisor Yeomans requested a report on the County's debt collection efforts be put on a future agenda.

**Approval of Minutes – April 18, 2019 and April 25, 2019.** Supervisor Yeomans moved approval of the minutes of April 18, 2019 and April 25, 2019 as presented, second by Supervisor Podzilni. ADOPTED.

**Transfers and Appropriations.** None.

**Review of Payments.** The committee accepted the reports.

**Review of Payments over \$10,000.** The committee accepted the reports.

**Resolutions and Committee Action.**

**Accepting High Intensity Drug Trafficking Areas (HIDTA) Grant and Amending the Sheriff's Budget.**

**“NOW, THEREFORE, BE IT RESOLVED** by the Rock County Board of Supervisors duly assembled this \_\_\_\_ day of \_\_\_\_\_ 2019 to approve and authorize the acceptance of \$60,000 of HIDTA grant funds and to authorize the Sheriff to sign the award documents.

**BE IT FURTHER RESOLVED** that the 2019 Sheriff's budget be amended as follows:

.....”

Supervisor Mawhinney moved approval of the above resolution, second by Supervisor Yeomans. ADOPTED.

**Committee Review and Approval of Per Meeting Allowances.** Supervisor Yeomans moved approval of per meeting allowances in the amount of \$11,664.22, second by Supervisor Podzilni. ADOPTED.

**Adjournment.** Supervisor Beaver moved adjournment at 5:57 P.M., second by Supervisor Podzilni. ADOPTED.

Respectfully submitted,

Sherry Oja  
Finance Director

**NOT OFFICIAL UNTIL APPROVED BY COMMITTEE.**

RESOLUTION NO. \_\_\_\_\_

AGENDA NO. \_\_\_\_\_

**RESOLUTION  
ROCK COUNTY BOARD OF SUPERVISORS**

Finance Committee  
INITIATED BY



Diana Arneson, Asst. to IT Dir  
DRAFTED BY

Finance Committee  
SUBMITTED BY

May 7, 2019  
DATE DRAFTED

**AUTHORIZING UPGRADE FOR COUNTY CITRIX ENVIRONMENT**

- 1 **WHEREAS**, one of the Information Technology Department's 2019 Strategic Initiatives is the budgeted
- 2 upgrade of the County's Citrix environment; and,
- 3
- 4 **WHEREAS**, the 2019 Information Technology Department Capital Projects Account (07-1444-0000-
- 5 67135) includes funding for the Citrix software upgrade; and,
- 6
- 7 **WHEREAS**, the Information Technology Department and the County's Citrix systems provider, EDCI,
- 8 Inc., has developed the project plan for implementing the upgrade from Citrix 6.5 to Citrix 7.15 Long Term
- 9 Service Release (LTSR).
- 10
- 11 **NOW, THEREFORE, BE IT RESOLVED** that the Rock County Board of Supervisors duly assembled
- 12 this \_\_\_\_\_ day of \_\_\_\_\_, 2019 that a Purchase Order for the upgrade from Citrix 6.5 to Citrix
- 13 7.15 LTSR be issued to EDCI, Inc. for an amount not to exceed \$30,000.

Respectfully submitted,

FINANCE COMMITTEE

\_\_\_\_\_  
Mary Mawhinney, Chair

\_\_\_\_\_  
Mary Beaver, Vice Chair

\_\_\_\_\_  
Brent Fox

\_\_\_\_\_  
J. Russell Podzilni

\_\_\_\_\_  
Bob Yeomans

FISCAL NOTE:

Funds were included in the budget for the cost of this project.

Sherry Oja  
Finance Director

LEGAL NOTE:

The County Board is authorized to take this action pursuant to secs. 59.01 and 59.51, Wis. Stats. In addition, sec. 59.52(29), Wis. Stats. requires the project to be let to the lowest responsible bidder. EDCI, Inc. is the sole source provider.

Richard Greenlee  
Corporation Counsel

ADMINISTRATIVE NOTE:

Recommended.

Josh Smith  
County Administrator

## **Authorizing Upgrade to the County's Citrix Environment**

The Information Technology department currently supports a Citrix environment that is used by several County departments for critical application delivery. One of the strategic initiatives for the IT Department for 2019 is the project to upgrade the County's Citrix environment from Citrix 6.5 to Citrix 7.15 LTSR. The purpose of the upgrade is to lower IT Desktop support efforts, lower the Desktop total cost of ownership, and upgrade the County's mobile access to real time data. Additionally the Citrix servers will be upgraded from Server 2008 r2 to Server 2016. Since support for Server 2008 r2 is due to be discontinued on 1/14/2020, it is prudent for the Information Technology department to perform the update now before Server 2008 r2 support ends. The 7.15 LTSR version of Citrix also delivers a consistent virtual desktop interface allowing users to access their applications from any location and from any device that is on the County's network or the Internet.

This project is the next step of the existing long-term project of Citrix technology that has been in-process within the County's computer and network environment, and the project has relied on the professional services of EDCI, Inc. the leading implementation provider of Citrix enterprise solutions in the state of Wisconsin.

The purchase of both the Citrix software and the associated implementation services will be procured from EDCI, Inc., the County's Citrix systems provider, and will total an amount not to exceed \$30,000.

# Rock Co Information Technology

Janesville, WI

## Statement of Work

#004500

### Citrix Upgrade 6.5 to 7.15 LTSR

April 17, 2019

By



Celebrating

**35** years  
1979-2014

N779 Communication Drive  
Appleton, WI 54914  
920-733-0303  
920-733-1049 fax

Dave Lang  
Account Executive  
920-882-1944  
davel@edci.com

Heath Phillippi  
Principal Citrix Engineer  
920-882-1929  
hphillippi@edci.com



## Executive Summary

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EDCi is pleased to have the opportunity to provide this Statement of Work to Rock Co Information Technology for the Citrix project. We are looking forward to working with you to achieve the business and information technology objectives identified in this project.

The proposed solution will provide Rock Co Information Technology the following benefits:

- Lower IT Desktop Support Efforts
- Lower Desktop Total Cost of Ownership
- Mobile Access to Real Time Data

If you require any further information or clarification on this document, please feel free to contact us. We are looking forward to the opportunity to work with Rock Co Information Technology and develop a strong partnership for success.

## Project Scope & Approach

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### Environment Review

Verification of Citrix XenApp 6.5 environment is compatible with Citrix requirements 7.15 LTSR

- Verify License Server version
- Verify SQL version
- Verify Microsoft windows server operating system
  - Current Citrix Environment windows 2008r2 and 2012r2
  - Migrate to 2016
- Verify vDisk Master VM
- Verify memory resources on hypervisor
- Verify Current virtual PVS
- Verify Thin Clients
  - Support XenApp 7.15 LTSR
  - Supports HDX Insight for MAS Implementation

**Note:** Citrix environment must meet Citrix current release system requirements before each upgrade can take place to Citrix XenApp 7.15 LTSR.

### XenDesktop LTSR Install

Side by Side upgrade of Citrix XenApp 6.5 to 7.15 long term service release (LTSR) environment on Windows 2016 with the latest updates and patches.

Virtual machines to be created to support Citrix XenApp 7.15 LTSR on existing VMware environment:

- Create 2 Citrix Data Collectors (DDC) as dedicated servers
- Create 2 Citrix StoreFront servers to front-end the XenApp environment
- Create 1 Citrix License server
- Create 2 Citrix XenApp application image for physical PVS

Migration from XenApp 6.5 to XenApp 7.15 LTSR

- Migration of DDC from server 2008r2 to Windows Server 2016
  - 4 hours have been allocated for published application migration.
- Migration from Web Interface 2008r2 to StoreFront on Windows Server 2016
- Migration of Citrix License server from 2008r2 to Windows Server 2016
- Migration of virtual PVS from 2012r2 to Windows Server 2016
  - If Rock Co Information Technology chooses to keep the current physical PVS servers they will be responsible for the Windows OS reinstall.
- Assist in installation of Citrix Universal Print Server components on a new Windows Server 2016 server.

Knowledge Transfer for 7.15 LTSR

- Director and Studio
- VDA
- Basic admin tasks

**Note:** Microsoft Licensing **NOT** included:

- Microsoft Windows Server 2016
- Microsoft SQL
- Microsoft Windows 2016 User RDCals - per Citrix User





- Microsoft VDA for true VDI - per VDI user

## Workload Migration

The following tasks will be completed at the main Rock Co Information Technology datacenter to upgrade workloads to the latest Long Term Support release (v7.15 CU3 at the time of this writing).

- Review the current environment, including Active Directory and the Hypervisor, and determine if any existing conditions could affect the stability of the items within the scope of this project.
- Migrate current Windows 2008 R2 workloads into new XenDesktop LTSR farm
- Create updated Machine Catalogs and Delivery Groups to reflect the current production environments
  - Note: Migration of published applications is capped at 2 hours. Additional time can be added with change orders if needed
- Configure Citrix User Profile Manager according to EDCi and Citrix best practices

## Test Workload Creation

In order to allow Rock Co Information Technology to test compatibility with Windows 2016 and Citrix's latest features, a new Windows 2016 based workload will be created.

- Create a new Windows 2016 image to test production applications and serve as base for future workloads
- Configure test group policies enabling latest HDX features such as Adaptive HDX and Framehawk

EDCi will also configure Citrix Machine Creation Services (MCS) during this step so that Rock Co Information Technology may evaluate it as a possible replacement for Provisioning Services.

## NetScaler

Upgrade NetScaler to Current Release access the new Citrix environment with the following functionality:

- ICA Proxy Access Gateway for the client devices with SSL encryption
- Mobile smartphone (iPad, Droid, iPhone) access to the XenApp/XenDesktop environment
- Load Balancing the two StoreFront servers
- Load Balancing XenApp XML Broker services
- Load Balance the PNAgent for thin clients, etc. to connect to instead of StoreFront

## Production Cutover

Production user cutover to the new environment consisting of:

- System modifications as outlined above
- Design the Active Directory group membership method that will allow users access to the new Citrix environment. Actual group creation and membership additions will be completed by the customer.
- Document any changes to the environment, monitoring results, and any recommendations for performance improvements.
- Provide a baseline customer test plan of the common features that should be validated from the end user perspective.

## Scope Other

- Implementing "Best Practices" for the Citrix environment including policies, licenses, and printing services.



- Provide knowledge transfer of the system implemented allowing I.T. staff the ability to support day-to-day Move/Add/Change tasks.
- Document the system as it was built which includes screen shots and IP/Naming set within the configurations.

## Out of Scope

The following items will not be addressed in the scope of this project:

- Software or hardware bugs that are outside the control of EDCi.
- Client information that was incorrect or incomplete.
- Software, hardware, and labor requirements that are not part of this document.
- Subcontractor labor that is outside the control of EDCi.
- 3rd party software and hardware that is outside the control of EDCi.
- Network hardware, software, and QoS issues that are outside the control of EDCi.
- EDCi is not responsible for any delays during the course of the project that are outside of its control. This includes delay because of items not defined in the scope of work.
- Additional features included within the product sets not listed within the scope of this project.
- All hardware requirements, including SAN storage and server equipment, not included in the quote will be customer provided and available before EDCi engineers engage with the project.
- If after reviewing the current environment and it is determined that any existing conditions could affect the stability of the items within the scope of this project, EDCi will stop the project until these conditions are corrected either through a change order or by the customer.
- Production user cutover to the new environment unless specifically listed with the scope of this project.

## Client Responsibilities

Rock Co Information Technology understands and accepts the responsibility regarding these services, which include the following:

- Complete all system testing, user acceptance testing and usability studies.
- Project Manage the entire effort, while EDCi will Project Manage the tasks assigned to it per the scope of this Statement of Work.
- Application installation and configuration in the Citrix environment. While EDCi will prepare the system for the applications, customer will actually install and configure the individual applications.
- Provide the Citrix client installation and configuration on the workstations. Configuration details will be provided by EDCi.
- Application/printing testing of the new system.
- System backups for the equipment.
- Add any/all testing users to access the new environment.
- Provide all hardware, software license/media.
- Provide SSL Wildcard Certificate (EDCi recommends godaddy.com) if Citrix NetScaler/Access Gateway is within scope.
- Install all Windows servers and join to the existing Active Directory domain.
- All hardware and VMware installation and configurations.
- All SAN configurations, physical attachments and storage unless specifically listed otherwise in the Scope section of this project.
- If utilizing XenMobile within the scope of this document, the Cloud Gateway App Controller requires an Apple subscription for application wrapping on an Apple Mac. Customer will provide subscription and Mac.
- All endpoints (thin client models, PC's, mobile devices, etc.) should be tested before being deployed to ensure an adequate user experience, regardless of the state of Citrix Support.

## Project Approach

The following depicts the approach that will be taken to complete the project objectives:



- Project planning
- Project kick off meeting
- Backup of existing systems
- Software/Hardware implementation
- Determine testing approach
- System testing
- Cutover
- Training/Knowledge transfer
- Project closure

## Testing Approach

- As the project transitions into the Testing Phase, the EDCi Support Services team will be engaged to assist with issues resolution through the Client's System Testing process. EDCi recommends that each client develop System Test Procedure that it exercises through different applicable business scenarios of the Citrix-delivered software.
- EDCi's Support Services Engineers can address issues identified through System Testing prior to the next Project or Field Engineer visit. With the EDCi Support Engineers' ability to remotely resolve issues found during the System Testing process, they may be leveraged throughout the project depending on customer needs. EDCi will track and communicate updates on these issues via EDCi's Ticket System.
- Once identified issues through testing have been resolved by EDCi's Engineers, a Go/No-Go decision will be made. Clients can determine if they would prefer to have an EDCi Engineer on-site or if the Support Services team should be leveraged remotely.



## **Project Management, Deliverables, Assumptions And Concerns**

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### **Project Management**

EDCi provides project management and technical direction for all projects regardless of size. For projects, such as this one, the project manager may provide the following support either remotely or onsite:

- Plan the project to fulfill the project objectives and scope.
- Schedule and coordinate the necessary resources to support the project.
- Complete Change Order documentation as required.
- Identify, escalate and document project issues as necessary.
- Complete project closeout process by obtaining customer's approval of the Project Closure form. If EDCi receives no feedback from customer on project closeout after five business days, EDCi will close the project.

### **Project Deliverables**

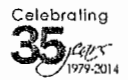
It is important for Rock Co Information Technology to work from a firm foundation to complete the project. To this end, we will provide the following deliverables to ensure Rock Co Information Technology's success:

- Status reporting upon request. EDCi will prepare and submit weekly status reports indicating the work performed by EDCi personnel.
- Project schedule that will define tasks to be accomplished, dates of completion, and responsibility for completion and also act as a project status mechanism.
- As-Built documentation that records how the system was configured.

### **Assumptions**

The following assumptions have been made as to the delivery of this project:

- Customer resources will be available during project.
- Some work may be performed by EDCi remotely and access will be available to access the systems remotely.
- The total estimated labor is merely an estimate and does not represent a fixed fee. The estimated labor in the Project Fees section is our best estimate of what it will take to complete this Statement of Work. This estimate may change depending on any unknowns encountered and any labor up to 10% of the estimate will be billed without formal notification.
- All IP addressing, server names, and naming convention will be supplied by the customer. Naming may be advised by EDCi.
- EDCi will have administrative access, physical access and ample working space to the physical equipment.
- It is assumed all applications will work properly within the Citrix environment and are compatible.
- All customer tasks will be completed before an EDCi engineer engages on the project.
- The customer test plan is intended to provide the base starting platform of recommended user testing and allows the customer to add additional "specific" items as appropriate. It is assumed the customer will own the process, modifications and completion of the user testing. The results should be communicated to EDCi to determine if the user experience can be improved.
- EDCi has included estimated labor efforts for the following items. This estimate may change depending on the items encountered:
  - 12 hours effort troubleshooting 3rd party applications
  - 4 hours production cutover assistance if included within the scope of this project
  - 8 hours system knowledge transfer on Move/Add/Change's
- Further assistance can be provided through EDCi's support offerings, which are outside the scope of this Statement of Work.
- The components will be configured in parallel to the production environment and may not include "Production Cutover" unless specifically included within the scope of this project.



## Project Fees and Schedule

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### Project Fees

#### XenApp 6.5 to 7.15 LTSR

	<u>Qty</u>	<u>Unit</u>	<u>Total</u>
Citrix Installation Labor	1	\$27,380.00	\$27,380.00
			<b>\$27,380.00</b>

### Project Investment

**\$27,380.00**

+ Tax & Freight

The project price includes estimated labor and project management for complete installation and testing of the above listed materials during normal working hours (8am - 5pm Monday through Friday).

The total estimated labor is merely an estimate and does not represent a fixed fee. The estimated labor in the Project Fees section is our best estimate of what it will take to complete of this Statement of Work. This estimate may change depending on any unknowns encountered and any labor up to 10% of the estimate will be billed without formal notification.

Travel time, expenses and other out-of-pocket expenses are not included in the fee estimate provided and will be billed as incurred Terms Net 10 days.



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## Schedule

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### Expenses

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Travel time, expenses and other out-of-pocket expenses are not included in the fee estimate provided and will be billed as incurred Terms Net 10 days.

### Delivery Schedule

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The actual project start and end dates depend on your timely approval of this Scope of Work, final agreed-upon project outcomes and scope, and your availability and participation. The process to schedule services will commence as soon as we receive a signed copy of this Scope of Work.

Personnel will be assigned as available when the project is approved. Depending on availability at the time of project approval, EDCi will assign specific resources to the project.

### Client Initiated Testing and Troubleshooting

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Clients may request EDCi to test or troubleshoot a feature of the platform that is not meeting expectations or not functioning as anticipated. If EDCi determines that the platform is functioning within normal and expected means, all hours accrued as part of this activity will be invoiced on a time and materials basis.

### Confidentiality

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We acknowledge that Rock Co Information Technology data, along with the documentation of the business requirements, might disclose some of your company's confidential information. We will use the confidential information only to complete the solution outlined in this document. We will restrict access to confidential information to those EDCi personnel who are providing services under this project.

### Conclusion

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We invite Rock Co Information Technology to work with a partner who shares your mutual desire for excellence, solid design and long-term results.

We have also completed similar solutions for other clients in the past and feel our past expertise and understanding will serve to augment the success of this effort. We view your satisfaction as paramount to measuring success and will ensure this system exceeds your expectations of quality.

We look forward to speaking with you about this opportunity and will contact you shortly to answer any questions you might have. If you have any questions regarding any of these arrangements, please feel free to contact us.

We appreciate the opportunity to be of assistance to you, and assure you that this project will be given our close attention.



## Terms and Conditions

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Labor only Terms for Blocks. All blocks of labor purchases will be invoiced once the order is received from the client.

Terms are Net 10 days.

Pricing is effective for 30 days.

All equipment and component and labor purchases will be invoiced once the equipment ships from EDCi. Terms are Net 10 days. Partial shipments will result in multiple invoices.

If the equipment cannot be shipped due to a project delay which is caused by circumstances out of the control of EDCi, including, but not limited to, customer error, circuit delays, manufacturing delays, etc. EDCi will ship and invoice items that have been received after a period of not less than 14 business days from receipt of the equipment at EDCi. If project timeline is delayed, additional project management and/or project coordination hours will be accrued and invoiced.

Pricing is effective for 30 days.

## Change Orders

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If the labor effort to complete this Statement of Work is more than estimated, **(10% or more)**, or if the customer requests a change to the scope and time involved to complete the Statement of Work, EDCi will communicate this with the customer and receive approval on a Change Order form before continuing.

Other additions or deletions to this Statement of Work may be made only pursuant to a written "Change Order" signed by both EDCi and the designated authorized representative of the Purchaser or his designee. All terms of duly signed Change Orders are deemed as part of this Statement of Work.



## Return Policy Criteria

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### Product Returns or Exchanges

Requests for product returns or exchanges will be honored as long as the products meet the following criteria:

- Products must be returned in new, sellable condition within 30 days of shipment date.
- Products must be returned in their original, unopened, unmarred packaging, including all accessories, manuals, and documentation.
- Important: Products or packaging for products that have writing or customer-supplied labels affixed to them will be refused.

EDCi will refuse any products that do not meet these criteria.

### Restock Fees Schedule

All non-defective returns for credit meeting the Return Policy Criteria above will be subject to the following Restocking Fee Schedule:

Timeframe that the request is received	Restock Fee
Within 30 days from receipt of materials	30%
Day 31 and beyond	No Returns

NOTE: All shipping charges are non-refundable.





## RMA Process

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All items being returned (regardless of reason) to EDCi must follow these steps:

1. Contact your sales representative to ensure you are eligible for a return and to obtain return materials authorization (RMA) number. No returns can be accepted without an approved RMA number. **Important:** Any items that are received without an RMA number will be refused and returned by our receiving team.
2. Please include your name, company name, date of purchase, PO# or order number if possible, and product serial number(s), model name or number of the hardware in need of return, and a reason stating why you need to return the unit(s) in your correspondence. **Important:** Requests for returns of defective products need to start with a call to our Technical Services Coordinator to diagnose the issue.
3. If your product RMA requires a replacement product:  
Once the RMA # is approved and issued, EDCi will process an order for a replacement product, generate a placeholder RMA invoice, and will ship the replacement to the address identified in the RMA request.
4. EDCi reserves the right to change or amend the above stated policy at any time.
5. EDCi reserves the right to limit or deny any returns for sales credits that are deemed non-compliant with the above stated policy.
6. EDCi is not liable for any lost or stolen property.

## Warranty

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EDCi warrants all of its labor and its materials for defects of material significance for 30 days from the date of substantial completion of the installation of the Equipment. EDCi makes no other express or implied warranties. EDCi's entire obligation and liability under this Statement of Work shall be exclusively limited to repair, replacement, or substitution of defective labor and materials. EDCi shall not under any circumstances be liable to Client or any other party for any incidental, consequential, special or other damages. THIS WARRANTY IS IN LIEU OF ALL OTHER WARRANTIES WRITTEN, ORAL, EXPRESSED OR IMPLIED, INCLUDING ANY IMPLIED WARRANTY OF MERCHANTABILITY OR FITNESS FOR A PARTICULAR PURPOSE.

As a complete exception to the warranty language above, EDCi does not warrant the repair, replacement, of installation, of defective electronic equipment, components, parts or software manufactured or programmed by third parties despite any provisions above to the contrary. The warranties of all third party manufacturers for electronic equipment, components or parts integrated into the project are hereby assigned to the Client such that said warranties may be enforced either in the name of EDCi or in the name of the Client for the Client's benefit. EDCi reserves the right to enforce any such warranties so assigned to the Client should the Client elect not to enforce warranties pursuant to this assignment.

## Lien Rights

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As required by Wisconsin Construction Lien Law, EDCi hereby notifies Client that EDCi may have lien rights against Client's real estate for unpaid labor and materials furnished upon owner's real estate. Client further grants a security interest to EDCi in all equipment delivered to Client to secure bona fide payments of the purchase price due under this Statement of Work.



## Approval to Proceed Together

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If the preceding terms are acceptable to you and the services outlined are in accordance with your needs, please sign this Statement of Work and return to the designated EDCi contact on the cover of this Statement of Work.

We appreciate the opportunity to work with you.

Company Name: Rock Co Information Technology

By: \_\_\_\_\_

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

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

Company Name: EDCi

By: \_\_\_\_\_

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

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

RESOLUTION NO. \_\_\_\_\_

AGENDA NO. \_\_\_\_\_

**RESOLUTION  
ROCK COUNTY BOARD OF SUPERVISORS**

Finance Committee  
INITIATED BY



Diana Arneson, Asst. to IT Dir  
DRAFTED BY

Finance Committee  
SUBMITTED BY

May 7, 2019  
DATE DRAFTED

**AUTHORIZING PAYMENT FOR BAKER TILLY SECURITY AUDIT**

- 1    **WHEREAS**, the Rock County Information Technology Department recognizes that Cybersecurity is a
- 2    growing priority; and,
- 3
- 4    **WHEREAS**, Rock County possesses substantial high-value data that needs to be protected from
- 5    Cybersecurity threats; and,
- 6
- 7    **WHEREAS**, Public Sector organizations like Rock County must regularly assess and strengthen their
- 8    cybersecurity infrastructure and processes; and,
- 9
- 10    **WHEREAS**, Baker Tilly has familiarity with the County's IT operations as part of the County's financial
- 11    audit and the IT assessment completed in November of 2018; and,
- 12
- 13    **WHEREAS**, the 2019 Budget did designate funds for a security audit.
- 14
- 15    **NOW, THEREFORE, BE IT RESOLVED** that the Rock County Board of Supervisors duly assembled
- 16    this \_\_\_\_\_ day of \_\_\_\_\_, 2019 does hereby authorize a contract with Baker Tilly, not to exceed
- 17    \$40,500.

Respectfully submitted,

FINANCE COMMITTEE

\_\_\_\_\_  
Mary Mawhinney, Chair

\_\_\_\_\_  
Mary Beaver, Vice Chair

\_\_\_\_\_  
Brent Fox

\_\_\_\_\_  
J. Russell Podzilni

\_\_\_\_\_  
Bob Yeomans

FISCAL NOTE:

Funds were included in IT's budget for this audit.

Sherry Oja  
Finance Director

LEGAL NOTE:

The County Board is authorized to take this action pursuant to secs. 59.01 and 59.51, Wis. Stats. Professional services are not subject to bidding requirements of § 59.52(29), Stats.

Richard Greenlee  
Corporation Counsel

ADMINISTRATIVE NOTE:

Recommended.

  
Josh Smith  
County Administrator

## Executive Summary

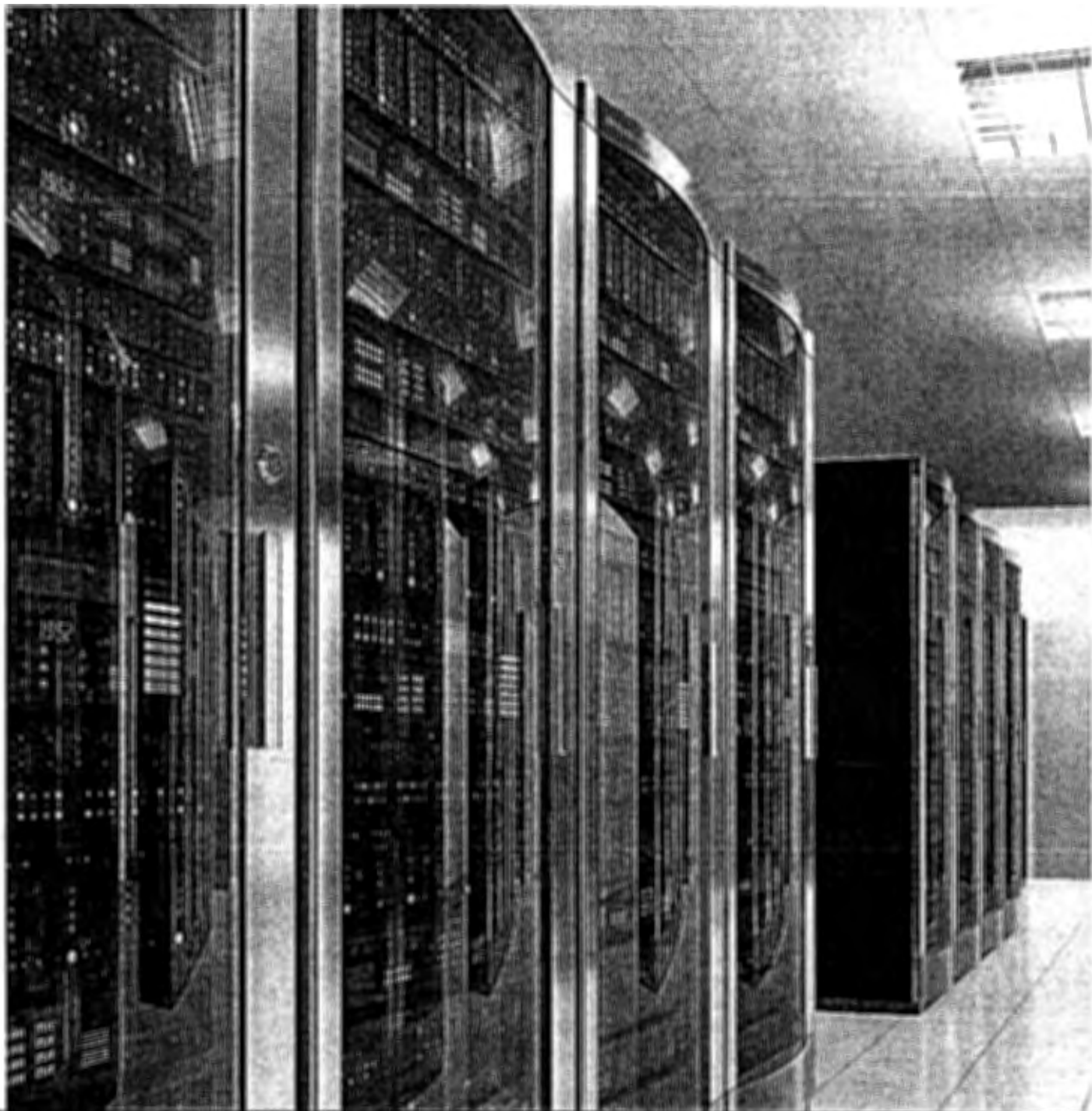
This resolution authorizes a contract with Baker Tilly to conduct an assessment of the Cybersecurity operations of Rock County's Information Technology Department.

The intent of this Cybersecurity audit is to comprehensively examine the County's current cybersecurity activities in order to advise on how to improve processes and controls to safeguard the County's data. Page 1 of the attached proposal outlines specific areas that will be considered through an industry-standard approach. Baker Tilly will assess the current IT staff's skillsets, capabilities and capacities; existing cybersecurity processes; Rock County's IT infrastructure and physical security; as well as presently available cybersecurity tools and technical resources. These activities will yield deliverables including a risk profile and a prioritized cyber risk report which will be used to decrease the County's cybersecurity risk as well as expand available toolsets and knowledge base for use in the future.

Additionally, Baker Tilly is offering a Cybersecurity Program Design service which will identify and prioritize cyber risks as well as design governance, controls, and regulatory frameworks. The deliverables will include a 12 month roadmap for cybersecurity program enhancements to assist the County moving forward.

Baker Tilly is uniquely qualified to complete this security audit. As the County's financial auditing firm, they have familiarity with the County's organizational structure and IT controls. Additionally, Baker Tilly completed an IT assessment in November of 2018 which will serve to facilitate their research.

The resolution authorizes a contract up to \$40,500 for this purpose. The 2019 budget provides funding for this expense.



# Cybersecurity Assessment

Rock County

April 26, 2019



Baker Tilly Virchow Krause, LLP  
8219 Leesburg Pike, Ste 800  
Tysons, VA 22182  
703 923 8300  
703 923 8330  
bakertilly.com

April 26, 2019

Mr. James Sandvig  
Director, Information Technology Department  
Rock County  
3530 N County Rd F  
PO Box 920  
Janesville, WI 53547-0920

Mr. Sandvig,

Cybersecurity threats are escalating for public sector organizations. As reliance on technology and networks rises, hackers discover new opportunities to steal, corrupt and leak data, creating substantial financial, reputational and operational risks for businesses. Counties must regularly assess and enhance their cybersecurity activities to account for the always-evolving cyber risk environment.

Within this context, Rock County (the County) is extremely wise to seek a cybersecurity assessment, and Baker Tilly Virchow Krause, LLP (Baker Tilly) is pleased to submit our cybersecurity assessment tailored proposal to meet these needs. We appreciate this opportunity to expand our relationship with the County, one of our valued clients, and believe our rich experience, industry specialization and holistic approach uniquely qualify us to perform your cybersecurity assessment.

As you make your decision, remember the benefits unique to this service and our firm:

- Breadth of experience in performing cybersecurity assessments to create detailed, accurate representations of organizations' cybersecurity postures
- Ability to identify and prioritize cyber risks and control gaps using insights gained from more than 800 cybersecurity and IT engagements and our extensive industry involvement
- First-hand experience serving the County since 1993 with audit, tax and advisory services
- Considerable industry experience from serving more than 1,000 public sector clients, including hundreds of counties and municipalities
- A flexible approach that provides substantial value

We look forward to the opportunity to discuss our cybersecurity assessment with you. Please do not hesitate to call or email us as you review our proposal.

Regards,

David Ross, MBA, MEng, CIPP/E, Principal  
301 792 2073 | david.ross@bakertilly.com

Barry Esch, Director, Business Development  
703 923 8305 | barry.esch@bakertilly.com

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<b>APPENDIX I: RESUMES.....</b>	<b>I</b>

This document contains confidential material that is proprietary to Baker Tilly Virchow Krause, LLP, and other related entities (collectively referred to herein as Baker Tilly). The materials, ideas, and concepts contained herein are to be used exclusively to evaluate the capabilities of Baker Tilly. The confidential information and ideas herein may not be disclosed to anyone outside parties and may not be used for purposes other than the evaluation of Baker Tilly's capabilities.



# 1. Approach and Methodology

## *Benefits of our cybersecurity assessments:*

*Builds on industry-recognized frameworks*

*Reflects leading practices and lessons learned from comparable cybersecurity engagements*

*Blends multiple project components, giving the County comprehensive analysis*

*Provides increased flexibility and responsiveness*

*Collaborative from start to finish, ensuring your needs and priorities are addressed*

*Develops visibility into current security limitations and metric-driven improvement*

*Clarifies current-state cybersecurity*

*Produces actionable steps to improve security posture*

Cybersecurity is a growing priority throughout the country, specifically concerning attack prevention. The County possesses substantial high-value data, which makes you a prime target for cyberattacks. Furthermore, your constituent, vendor and internal interactions, if unmediated by proper controls, can easily create vulnerabilities for bad actors to exploit in a breach.

Baker Tilly's robust, holistic cybersecurity assessment approach will help to strengthen the County's understanding of your cybersecurity posture and risk exposure and provide viable recommendations to remediate gaps. Our goal will be to comprehensively examine your cybersecurity activities and advise the critical security control and process improvements needed to safeguard data from accidental loss, unauthorized access, use, alteration and disclosure.

To provide the maximum value and insight for the County, our proposed cybersecurity assessment methodology (detailed on the next page) covers five main categories.

- **People** – Assessment of your current staff's skills, capability and capacity with regards to cybersecurity activities.
- **Process** – Assessment of your policies, procedures and processes as it relates to cybersecurity
- **Infrastructure** – Assessment of your IT infrastructure from a cybersecurity perspective
- **Tools** – Assessment of your cybersecurity tools and technical resources
- **Physical** – A high level assessment of your physical security in protection your IT infrastructure

Optionally, we have also included three additional services that are natural extension of the assessment work.

- **Cybersecurity Program Design (Optional)**
- **Vulnerability Assessment (Optional)** – Scanning your infrastructure (internally and/or externally) for known vulnerabilities
- **Social Engineering (Optional)**

The process starts with a planning phase, where we will develop a project plan and establish expectations, and conclude with reporting, where we will share our findings and recommendation in an easy-to-understand, digestible format.



## 1.1 Cybersecurity Assessment Methodology

### Cybersecurity Assessment

**Purpose:** Identify and prioritize cyber risks considering management's assessment of the context of the County's control environment, existing policies, and potential gaps in accountability, and develop actionable recommendations

#### Activities

- Request and review initial documentation, including policies, diagrams, and other information that will help Baker Tilly evaluate the risks within the audited areas, such as:
  - Policies, procedures and standards
  - Vendor and third-party management
  - Change management (e.g., patches, operating system and firmware upgrades, configuration changes)
  - Access management (e.g., account management, password management, elevated privileges, account access review, access monitoring)
- Work with management to understand and discuss the County's:
  - Strategic goals
  - Major initiatives and challenges
  - Recent and planned changes in processes and systems
  - Views of major risks facing the County, and how they may have evolved since the development of the current cyber risk framework
- Conduct interviews and collect data
  - Interview stakeholders regarding the risk environment, what has historically been done, past challenges, and opportunities
  - Conduct interviews and/or walkthroughs with key data and process owners
- Review existing policies, processes and practices against defined requirements
- Identify key risk areas for management focus
- Develop recommendations for risk mitigation strategies of key cyber risk areas
- Identify areas for improvement relative to IT and cybersecurity

#### Deliverables

- Interview meeting agendas
- Inventory of resources, projects, programs, documentation, and capabilities
- Risk profile
- Gap analysis
- Summary of draft observations
- Prioritized cyber risk listing
- One initial draft report
- One final report

## 1.2 Optional Additional Projects

### Optional: Cybersecurity Program Design

#### Cybersecurity Program Design

**Purpose:** Identify and prioritize cyber risks considering management's assessment of the context of the County's control environment, existing policies, and potential gaps in accountability, and develop actionable recommendations

#### Activities

- Recommend remediation activities associated with identified gaps
- Design cybersecurity governance framework
- Design cybersecurity controls framework
- Design cybersecurity awareness/training program
- Define applicable regulatory frameworks

#### Deliverables

- Cybersecurity priorities
- 12-month roadmap
- Initial cybersecurity program design, including long-term cybersecurity leadership recommendations
- Final cybersecurity program design



*"Having Baker Tilly come in... gave me the tools and resources I needed to be successful."*

*— Director of Information Technology*

### Optional: Vulnerability Assessment

#### Vulnerability Assessment

**Purpose:** Identify and assess the County's network-accessible vulnerabilities.

#### Activities

- Work with the County to identify in scope hosts
- Perform vulnerability scanning procedures using our scanning appliance on identified hosts as well as perform a vulnerability check on the Wireless Guest network, using the following methods:
  - The **Credentialed Method** for internal vulnerability scanning:
    - Log into a target computer as a system administrator and issue commands to catalog the computer system's configuration, software inventory, and running services
    - Search for known vulnerabilities, including missing software maintenance and security patches as well as unsupported software and weak security settings
    - Confirm and document identified vulnerabilities
  - The **Non-Credentialed Method** for external scanning and any internal host for which login credentials are unavailable:
    - Run a network port scan to identify "live computers," their listening network service ports

#### Deliverables

- Written vulnerability report including:
  - Executive summary
  - Management summary
  - Assessment methodology
  - Issues and observations
  - Appendices
    - Host discovery information
    - Detailed vulnerability listing with remediation

**Vulnerability Assessment**

- and the associated service programs
- Discover vulnerabilities through network probing
- Search for known vulnerabilities associated with the identified network service ports and programs



*"Your team was fantastic to work with again this year. I compliment the amazing team you have, and am looking forward to next year!"*

*- Chief Technology Risk Officer*

**Optional: Social Engineering and Phishing**

**Social Engineering and Phishing**

**Purpose:** Attempt to steal user credentials or gain user system access using social engineering attacks including phishing and phone pretexting

**Activities**

- Collaborate with County management to scope the target employee list for social engineering emails and phone pretexting
- Conduct social engineering campaigns, which will consist of sending phishing emails and conducting phone pre-texting calls
- Collect response metrics and compile results to be presented and shared with management
- Provide a training module for identified users who do not pass the social engineering tests

**Deliverables**

- Phishing/phone pretexting response metrics and results

## 2. Pricing



*"Thank you again for going beyond the call of duty and providing us with excellent value for the investment we made."*

*– CEO at a Client Organization*

We prepared the fee in **Table 2** for the County based on the needs and objectives you have shared with us and our experience conducting similar services in the public sector industry. Our fee allows for thorough and insightful advice and services from experienced professionals without unnecessary add-ons or start-up charges. If the County commits to the **cybersecurity assessment and program design** up front, Baker Tilly will offer a \$2,500 dollar discount.

*Table 2: Fees*

<b>Project</b>	<b>Cost</b>
Cybersecurity assessment	\$30,000
<b>Optional Cybersecurity Program Design</b>	\$10,500
<b>Optional Vulnerability assessment</b>	TBD
<b>Optional Social engineering and phishing</b>	TBD

Out-of-pocket expenses reasonably and necessarily incurred in the performance of this service will be charged in addition to the fees stated above and will be billed at the actual amounts incurred.

Our services will be performed in accordance with the Consulting Standards promulgated by the American Institute of Certified Public Accountants (AICPA). Our procedures will be performed solely to assist the organization in assessing your cybersecurity posture. Such procedures do not constitute an audit conducted in accordance with U.S. Generally Accepted Auditing Standards. Accordingly, we will not express an opinion on the results of our work.

### 2.1 Assumptions

We based our estimate on the assumptions detailed below. Should any of these change during the engagement, we will bring the matter to the County's attention immediately and prepare a change order detailing the new requirements and corresponding budget impact. We will not undertake additional work without the County's written approval.

Assumptions include:

- The County will provide adequate support, preparedness, and cooperation from management
- There will be no significant changes in scope
- Engagement can be serviced from the United States – should travel be necessary/desired, we will obtain the County's approval in advance and will bill the County for such travel, as incurred

- All interviews, data provided and deliverables will be in English
- The County will provide resources to assist with coordination activities such as scheduling project activities, coordination of information gathering, and securing project team space
- The County will provide timely access to needed personnel, systems and processes
- The County will provide timely feedback on prioritization of activities
- The County will provide timely feedback on deliverables

For all services listed above, project management tasks and on-going collaboration will ensure that you are informed throughout the process and there are no surprises in our final deliverables.

## 3. Proposed Team

Efficient project performance requires a team with experienced personnel who are knowledgeable and skilled to meet your needs from day one, as well as capable of responding to your needs promptly and efficiently. With Baker Tilly, the County will once again have such a team.

The team consists of public sector and consulting professionals offering a depth of public sector experience, a breadth of cybersecurity skills as well as a deep understanding of public sector organizations' cybersecurity risks and threats.

The following are the key personnel on your engagement team:

- **David Ross**, a principal at Baker Tilly and the cybersecurity growth leader for our risk, internal audit and cybersecurity practice, who leads our VCISO efforts for clients across industries. David will serve as your engagement partner.
- **Heather Acker**, a partner of Baker Tilly's Madison office, who specializes in public sector clients and leads our work and manages our overall relationship with the County – as the local client partner.
- **Ken Zoline**, a senior manager at Baker Tilly, with more than 23 years of cybersecurity and technology experience. Ken will serve as the engagement director.
- **Alex Islamov**, a manager with more than 12 years of leadership and management expertise focusing in the areas of IT, security, governance, risk management and IT audit programs. Alex will be your engagement manager.

Our many years of public sector experience coupled with our current consulting work allow our team to offer a unique perspective on the prominent risks and cyber threats facing public sector organizations. **Appendix I** includes detailed resumes for the proposed team members.



Presence in the State of Wisconsin

800

Qualified professionals statewide

20

Offices, including in Janesville

## 4. About Baker Tilly

Baker Tilly was founded in 1931 with one central objective: *use our industry specialization to help our clients improve their operations*. With teams that include financial, business and industry-specific specialization, our clients work with knowledgeable professionals who understand their organizations and can create innovative solutions to help them overcome their unique challenges. Because the County will once again be working with a tailored engagement team, you can continue to expect consistent, efficient and Exceptional Client Service. **Figure 4** shows some key facts about us.

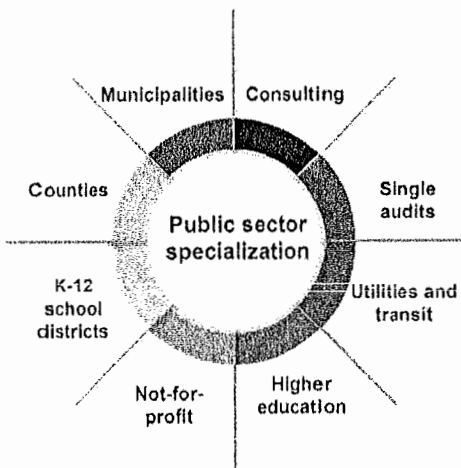


Figure 4: Key facts

Baker Tilly's more than 3,600 total staff members, including approximately 350 partners, provide a wide range of services to clients. Beyond our cyber and privacy offerings, we also provide accounting, assurance, consulting and staffing services, among others. For more than 85 years, Baker Tilly has understood that our business demands absolute integrity, a belief in the value of trusted relationships and a willingness to collaborate with every client. We will strive to continue to deepen and enhance our relationship with the County as we seek to remain your Valued Business Advisor.

### 4.1 Public sector Specialization

Baker Tilly is one of only a few audit firms with a dedicated public sector practice. The depth of our knowledge and experience, together with our commitment to the public sector, will translate into valuable insights into issues unique to the City. Our public sector practice group, which was formalized nearly 50 years ago, consists of a team of more than 320 professionals dedicated entirely to serve the needs of public sector clients. We recognize the complex nature of this industry and organize our partners and staff into various sub-specialty practice areas.



Nationwide, our public sector practice currently works with more than 1,000 such clients, including more than 300 municipalities, as well as state agencies, counties, public utilities, transit, school districts and many other government organizations.

We have a substantial history of public sector audit and advisory services. In addition, we offer valuable assistance in areas such as compliance audits, feasibility studies, operational reviews, consolidation and shared services consulting, information technology (IT) consulting and other advisory services.

Our approach to industry specialization ensures that the City of Minneapolis will continue to work with a team that is truly dedicated to serve governmental clients, which leads to an exceptional client service experience.

## Benefits of our work:

Visibility to current security limitations and metric-driven improvement

Roadmap/action plan to improve security posture

Behavior changes to safer/sounder and measurable actions that reinforce security

More secure, reliable cybersecurity infrastructure and operations

Increased operational efficiency and effectiveness

Enhanced internal controls emphasizing risk detection and risk mitigation

Reduction of the potential for a single-point failure

Quicker issue resolution

Better strategic decision-making about cybersecurity risk mitigation

### Umbaugh/Springsted Combination

You may have heard our firm recently announced some very exciting news. Springsted Inc. (Springsted) and H.J. Umbaugh and Associates, Certified Public Accountants, LLP (Umbaugh) are joining Baker Tilly in a three-way combination. **This strategic combination creates a premiere municipal advisory practice, particularly in Minnesota, and provides the City access to a range of municipal advisory specialists.**

The full combination will be effective in the first half of 2019 (Springsted has already combined with Baker Tilly). After a transition period, the combined firm will be Baker Tilly.

Of note, the County has been among our valued clients since 1993 and we are excited about the possibility to expand our relationship with you. You'll see some of the same faces who have previously served – and currently serve – you return to your cybersecurity assessment, assuring you of a team that understands your unique environment.

### 4.2 Experience in Delivering Cybersecurity Services

Decades of serving public sector organizations with risk and cybersecurity services have taught us how to manage known vulnerabilities and proactively identify new ones. Using this experience, we can provide the County with an accurate and objective view of your County to help you protect data from theft, compromise and destruction.

Baker Tilly has assisted more than 800 client organizations of all sizes with cybersecurity and IT risk-related work, who have leveraged our work to:

- Gain an enterprise perspective into the opportunities and risks associated with their cybersecurity postures
- Simulate cyber-attacks leveraging social engineering, phishing and penetration testing
- Compare their cybersecurity practices and controls against leading practices frameworks
- Better position cybersecurity initiatives, processes and systems to add value to organizations and their constituents
- Enhance governance and facilitate critical discussions about cybersecurity risk management with senior management and boards



- Gain security program leadership from senior cyber personnel
- Design impactful, strategically aligned cyber programs
- Understand root causes of control deficiencies and implications of various remediation plans, as well as develop remediation roadmaps
- Identify and prioritize the cybersecurity risks and risk management strategies relevant to their business and technical environments
- Develop security education and awareness programs
- Conduct collaborative tabletop exercises and crisis exercises to raise response capabilities and awareness
- Address existing and emerging security and privacy regulations
- Develop dashboards to measure key performance metrics and identify trends

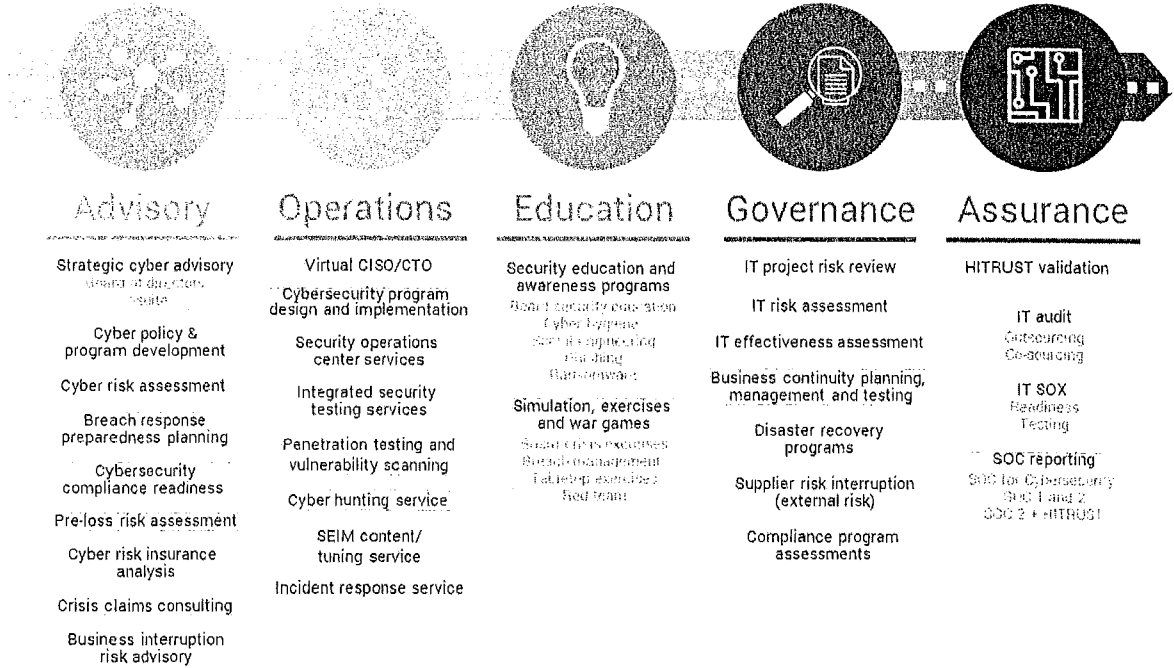
80,000

*hours of cybersecurity and  
technology related  
assessments annually*

When providing cybersecurity assessments for the County, you can expect us to carefully consider your culture, complexity and strategic growth goals, assuring you of cybersecurity services and strategies that reflect your unique environment and risks. Our team members perform more than 80,000 hours of cybersecurity-related assessments annually, translating into a deep understanding of IT as a business enabler. The following are two brief summaries of clients receiving cybersecurity assessment services from Baker Tilly:

- **Cybersecurity assessment:** An organization with numerous systems in multiple physical locations required an independent technical cybersecurity assessment to determine vulnerabilities in IT architecture and system configurations. Baker Tilly analyzed the IT security configurations of more than 400 systems using automated vulnerability scanning and penetration testing tools and detailed manual configuration reviews. In addition, Baker Tilly reviewed the supporting IT security processes. We identified numerous critical systems with poor security configurations and control gaps. Baker Tilly developed prioritized practical improvements for the County's security architecture, security configurations and corresponding IT processes.
- **Social engineering/phishing test:** A County sought help to assess the strength of the human element in its security. Baker Tilly performed a phishing test, creating a fictitious website masquerading as a wellness program and sending an email to targeted employees, attempting to download documents and capture their network credentials. We analyzed phishing results to identify trends, key risks and common themes and, finally, drafted a report outlining our observations as proposed mitigation strategies.

## Our Cybersecurity Services



# Appendix I: Resumes

## David Ross, MBA, MEng, CIPP/E

David is a principal and our firm's cybersecurity and privacy practice leader.



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Principal

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bakertilly.com

**Education**

Georgetown University – McDonough School of Business (Washington, D.C.)  
Master of Business Administration

ESADE Business School (Barcelona, Spain)  
Master of Business Administration

University of Maryland – A. James Clark School of Engineering (College Park, Maryland)  
Master of Mechanical Engineering

Carnegie Mellon University (Pittsburgh, Pennsylvania)  
Bachelor of Science, Chemistry and Industrial Management

David is a principal, leader for our privacy practice as well as cybersecurity advisory leader, who has been with Baker Tilly since 2017. David joined us in 2017 from Deloitte's cyber risk practice, where he provided strategic insight, service design, business development and engagement leadership. Previously, David was general manager of General Dynamics Commercial Cyber Services, where he was not only responsible for the design of the business, but also the launch and management of the new commercial organization. As a recognized thought leader and published author, David frequently speaks on cybersecurity strategy, innovation, business strategy, building high performing sales strategies, and critical problem solving for corporations.

**Specific experience**

- Serves as partner-in-charge for Virtual Chief Information Officer (VCISO) and Virtual Data Protection Officer (VDPO) engagements
- Serves as partner-in-charge on General Data Protection Regulation (GDPR) and other privacy readiness assessment services
- Provides leadership, management and strategic direction for the firm's cybersecurity practice
- Provides leadership in business development, commercialization, service design and growth strategies across RIAC practice
- Proven innovation and business transformation leader in the cybersecurity, pharmaceutical, healthcare and manufacturing sectors
- Advises clients and boards on the strategic aspects of cybersecurity
- Serial entrepreneur

**Industry involvement**

- National Association of Corporate Directors – Board Leadership Fellow (2016 – Present)
- American College of Corporate Directors (2016 – Present)
- Intelligence and National Security Alliance – Financial Threats Task Force (2015 – Present)
- Georgetown University McDonough School of Business – Adjunct Professor (2012 – Present)

David Ross, page 2

**Industry involvement, cont.**

- Latin American Board – Lecturer (2012 – 2016)
- Johns Hopkins Cary School of Business – Adjunct Professor (2012 – 2014)
- The Nantucket Project – Fellow (2012)
- Georgetown University – Entrepreneur in Residence (2011 – 2013)
- International Association of Privacy Professionals – Member (2017-present)

**Community involvement**

- Propagenix – Director Emeritus (2014 – Present)
- Nantucket Looms – Advisory Board Member (2012-2017)
- M3 Information – Advisory Board Member (2012 – 2013)
- Diversinet Corporation (DVNTF) – Advisory Board Member (2012)

**Publications and patents**

- Applying Visual Frameworks to Optimize Innovation Strategy; Global Science and Technology Forum Journal on Business Review Volume 2, No. 2 (ISSN: 2010-4804)
- The Path/Goal Problem – A Visual Framework for Visualizing Innovation; 2nd Annual International Conference of Innovation and Entrepreneurship conferences proceedings (ISSN: 2251:2039)
- Continuously Compensating Bicycle Suspension System; United States Patent 5,921,572

**Thought leadership**

- Contributor for Bisnow's article: Why You Should Hire a (Virtual) CISO – May 2018

# Heather S. Acker, CPA

Heather Acker, Public Sector Professional Practice Leader, has been with Baker Tilly since 1997



## **Baker Tilly Virchow Krause, LLP**

### **Partner**

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[heather.acker@bakertilly.com](mailto:heather.acker@bakertilly.com)

[bakertilly.com](http://bakertilly.com)

### **Education**

Bachelor of Business Administration in Accounting  
University of Wisconsin–Madison

She is responsible for the quality oversight of the public sector assurance practice of the firm. Throughout her career, she has specialized in serving the needs of state and local government clients. Heather has experience with numerous types of financial and compliance audits including single audits. She has also helped many governments with consultation and implementation of various Governmental Accounting Standards Board (GASB) pronouncements.

### **Specific experience**

- Leader in Baker Tilly's Professional Practice Group
- Partner of the financial audits of numerous municipalities and counties
- Partner of single audits in accordance with the Uniform Guidance
- Provides technical assistance to local governments in preparing Comprehensive Annual Financial Reports that receive the GFOA certificate for excellence
- Provides Tax Incremental Financing (TIF), Business Improvement District (BID), and Special Service Area (SSA) auditing, reporting and consulting services
- Presents audit reports to local government boards and committees
- Provides GASB strategic planning and implementation services to clients
- Provides guidance on accounting policies and procedures to improve the operation of the accounting function and strengthen internal controls
- Provides a variety of accounting and budgeting assistance to municipalities
- Oversees the Baker Tilly Public Sector Assurance Committee
- Leads the Baker Tilly Single Audit Committee
- Oversees firmwide public sector and single audit training and audit methodology updates
- Performs peer reviews
- Licensed CPA in Illinois and Wisconsin

Heather S. Acker, page 2

**Industry involvement**

- American Institute of Certified Public Accountants (AICPA)
- Chair of the AICPA State and Local Government Expert Panel (2016-present)
- AICPA Government Audit Quality Center (GAQC) Executive Committee (2012–2015)
- AICPA State and Local Government Expert Panel (2009–2012 and 2015-present)
- AICPA Peer Review oversight program
- GASB Tribal Government Accounting Workshop Group (TGAWG)
- Government Finance Officers Association (GFOA)
- GFOA Special Report Review Committee
- Wisconsin Institute of Certified Public Accountants (WICPA)
- Wisconsin Government Finance Officers Association (WGFOA)
- Illinois Government Finance Officers Association (IGFOA)
- Speaks at national and regional industry conferences
- Authors published articles on municipal accounting issues
- Recognized contributor to:
  - AICPA "State and Local Government Audit Guide"
  - AICPA "Government Auditing Standards and Single Audit Guide"
  - AICPA "State and Local Government Audit Risk Alert"
  - AICPA "Government Auditing Standards and Single Audit Risk Alert"
  - AICPA "State and Local Governments Illustrative Financial Statements"

# Kenneth Zoline, CISSP

Ken is a senior manager with our cybersecurity and IT risk consulting practice.



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**Senior Manager**  
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 United States

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[bakertilly.com](http://bakertilly.com)

## Education

Master of Science in Computer Science  
 Illinois Institute of Technology

Bachelor of Science in Computer Science  
 University of Illinois–Urbana-Champaign

Ken has 23 years of advisory experience in security and networking, four years of director-level experience developing and managing an information security and risk management program for SPSS Inc. (acquired by IBM) and four years of security operations management experience working for IBM global technology services. Additionally, Ken has taught college-level cybersecurity courses.

## Specific experience

- Performs cybersecurity testing: network, host and application vulnerability scanning, integrated security testing, vulnerability assessments, penetration testing, and cyber-attack simulations
- Performs control assessments (gap, maturity and compliance) for following frameworks and standards: CSC, FFIEC, ISO 27002, HIPAA Security Rule, NIST CSF, NIST SP800-53 and PCI DSS
- Performs IT and cybersecurity focused risk assessments
- Performs threat modeling and threat assessments
- Performs vulnerability management assessments
- Develops and improves clients' cybersecurity policies, standards, procedures, business processes and controls
- Develops security programs
- Provides security consultation to client executive management, committees and board of directors
- Regularly leads teams delivering a broad range of cybersecurity-related consulting services

## Industry involvement

- The International Information Systems Security Certification Consortium ((ISC)<sup>2</sup>)
- Information System Security Association (ISSA)
- Infragard – Chicago
- Institute of Internal Auditors (IIA)
- Information Systems Audit and Control Association (ISACA) (presenter)
- Healthcare Financial Management Association (HFMA) (presenter)
- Cloud Security Alliance (CSA) (past contributor)

# Alex Islamov, CISA, CIPT

Alex is an experienced manager within the risk, internal audit and cybersecurity practice.



**Baker Tilly Virchow Krause, LLP**  
**Experienced Manager**  
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[bakertilly.com](http://bakertilly.com)

**Languages**  
 English

**Education**  
 University of Nebraska–Lincoln  
 Bachelor of Business Administration (Accounting &  
 Management Information Systems)

University of Nebraska–Lincoln  
 Masters of Professional Accountancy

Alex has been with the firm since 2018. He has more than 12 years of leadership and management expertise within international firm professional services and industries ranging from healthcare, telecommunications, manufacturing, oil and gas, and retail. Alex is effective at driving IT, security, governance, risk management and internal audit programs.

## Specific experience

- Performs quality assurance reviews, providing advice on implementation of leading practices and assessing direct compliance with relevant regulations
- Plans, performs and executes SOC1, SOC2 and SOC2+ report projects across a wide variety of industries and frameworks (e.g., NIST, ISO 27001 and HITRUST)
- Provides assistance in identifying, documenting and testing internal control in relation to SOX compliance from both a financial and IT perspective
- Performs consulting services to plan, develop, execute and improve internal control procedures for suitability of design and operational effectiveness
- Performs organization-wide risk assessments with a focus on qualitative and quantitative evaluation of risk associated with critical application systems and infrastructure components supporting key business processes, technology and upcoming significant initiatives
- Performs information privacy and security reviews, focusing on current information privacy and security policies, procedures and practices, and the monitoring mechanisms in place to identify new information privacy and security laws and regulations

## Industry involvement

- International Association of Privacy Professionals (IAPP)
- Information Systems Audit and Control Association (ISACA)
  - ISACA Vice President Tulsa Chapter 2009–2010
- Institute of Internal Auditors (IIA)



RESOLUTION NO. \_\_\_\_\_

AGENDA NO. \_\_\_\_\_

**RESOLUTION  
ROCK COUNTY BOARD OF SUPERVISORS**

The General Services Committee  
INITIATED BY



Brent Sutherland- Director of  
Facilities Management  
DRAFTED BY

The General Services Committee  
SUBMITTED BY

May 13, 2019  
DATE DRAFTED

**Authorizing the Purchase of the Property at 1717 Center Avenue and  
Amending the 2019 Facilities Management Capital Budget**

1 **WHEREAS**, part of the facilities masterplan recognized the need for a new Human Services  
2 building to replace the existing Human Services building due to the buildings current conditions,  
3 and;  
4  
5 **WHEREAS**, General Services Committee and Facilities Management reviewed several options,  
6 locations and costs with the best option being the 1717 Center Ave property, and;  
7  
8 **WHEREAS** renovation of the property at 1717 Center Ave allows Rock County an opportunity  
9 to renovate more square footage, thus improving department efficiency for less cost than a new,  
10 smaller building.  
11  
12 **NOW, THEREFORE, BE IT RESOLVED**, that the Rock County Board of Supervisors duly  
13 assembled this \_\_\_\_ day of \_\_\_\_\_, 2019 does hereby approve and authorize the  
14 purchase of the property at 1717 Center Avenue in the amount of \$4,400,000.00, plus closing  
15 costs, from 1717 4GK, LLC of Janesville, Wisconsin.  
16

17 **BE IT FURTHER RESOLVED**, that the Facilities Management 2019 budget be amended as  
18 follows:

<u>ACCOUNT/DESCRIPTION</u>	<u>BUDGET</u> <u>5/1/19</u>	<u>INCREASE/</u> <u>(DECREASE)</u>	<u>AMENDED</u> <u>BUDGET</u>
<u>Source of Funds</u>			
18-1857-0000-49100	0	\$4,400,000.00	\$4,400,000.00
Notes Issued			
<u>Use of Funds:</u>			
18-1857-0000-67200	0	\$4,400,000.00	\$4,400,000.00
Capital Improvements			

Respectfully submitted,

GENERAL SERVICES COMMITTEE

FINANCE COMMITTEE ENDORSEMENT

\_\_\_\_\_  
Hank Brill, Chair

Reviewed and approved on a vote of \_\_\_\_\_

\_\_\_\_\_  
Jeremy Zajac, Vice Chair

\_\_\_\_\_  
Mary Mawhinney, Chair

\_\_\_\_\_  
Yuri Rashkin

\_\_\_\_\_  
Tom Brien

\_\_\_\_\_  
Robert Potter

Authorizing the Purchase of the Property at 1717 Center Avenue and Amending the  
2019 Facilities Management Capital Budget  
Page 2

FISCAL NOTE:

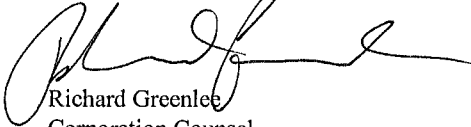
This resolution authorizes the purchase of the land and building at 1717 Center Avenue. This resolution also amends the 2019 budget to provide appropriation authority for the purchase and a funding source of a future debt issue.



Sherry Oja  
Finance Director

LEGAL NOTE:

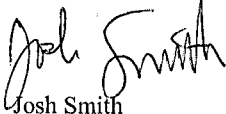
The County Board is authorized to take this action pursuant to secs. 59.01 and 59.52(6), Wis. Stats. As an amendment to the adopted 2019 County Budget, this Resolution requires a 2/3 vote of the entire membership of the county board pursuant to sec. 65.90(5)(a), Wis. Stats.



Richard Greenlee  
Corporation Counsel

ADMINISTRATIVE NOTE:

Recommended.



Josh Smith  
County Administrator

**Rock County, Wisconsin**

51 South Main Street  
Janesville, WI 53545



**General Services**  
Facilities Management  
(608)757-5527

## **Executive Summary**

### **Authorizing the Purchase of the Property at 1717 West Center Avenue and Amending 2019 Facilities Management Capital Budget**

The Resolution before you authorizes the purchase of the property located at 1717 West Center Avenue on Janesville's south side for the cost of \$4,400,000. This building will be renovated for the occupancy of our Human Services Department. This will allow Human Services to consolidate their services from several different locations into one facility.

The resolution also amends the 2019 Facilities Management Budget with an increase of \$4,400,000 plus closing costs and uses sales tax to fund the purchase.

RESOLUTION NO. \_\_\_\_\_

AGENDA NO. \_\_\_\_\_

**RESOLUTION  
ROCK COUNTY BOARD OF SUPERVISORS**

Finance Committee  
INITIATED BY \_\_\_\_\_

Finance Committee  
SUBMITTED BY \_\_\_\_\_



Sherry Oja, Finance Director  
DRAFTED BY \_\_\_\_\_  
May 14, 2019  
DATE DRAFTED \_\_\_\_\_

**INITIAL RESOLUTION AUTHORIZING GENERAL OBLIGATION  
BONDS AND/OR NOTES IN AN AMOUNT NOT TO EXCEED \$5,200,000**

- 1 **WHEREAS**, on May 23, 2019 the Rock County Board of Supervisors approved \$5,196,000 for the
- 2 purchase of the land and building at 1717 Center Avenue, Janesville, WI and architectural and
- 3 engineering costs for renovating the building, and,
- 4
- 5 **WHEREAS**, the purchase was approved with the anticipation that it would be funded with the future
- 6 issuance of debt, and,
- 7
- 8 **WHEREAS**, the land and building will have long-term benefits and are most appropriately funded by
- 9 debt issuance.
- 10
- 11 **NOW, THEREFORE, BE IT RESOLVED**, by the Rock County Board of Supervisors duly
- 12 assembled this \_\_\_\_\_ day of \_\_\_\_\_, 2019, that there shall be issued, pursuant to Chapter 67,
- 13 Wisconsin Statutes, General Obligation Bonds and/or Notes in an amount not to exceed \$5,200,000
- 14 for the purchase of the land and building at 1717 Center Avenue, Janesville, WI and architectural and
- 15 engineering costs for renovating the building and initial costs of building renovation.

Respectfully submitted,

**FINANCE COMMITTEE**

\_\_\_\_\_  
Mary Mawhinney, Chair

\_\_\_\_\_  
Mary Beaver, Vice Chair

\_\_\_\_\_  
Brent Fox

\_\_\_\_\_  
J. Russell Podzilni

\_\_\_\_\_  
Bob Yeomans

INITIAL RESOLUTION AUTHORIZING GENERAL OBLIGATION  
BONDS AND/OR NOTES IN AN AMOUNT NOT TO EXCEED \$5,200,000  
PAGE 2

FISCAL NOTE:

The purpose of this resolution is to authorize expenditures for the purchase of the land and building at 1717 Center Avenue, Janesville, WI and for architectural and engineering costs for the renovation of the building prior to actual debt issuance. If the County adopts this resolution, the purchase costs and issuance costs will be included in a subsequent resolution that authorizes the issuance of General Obligation Bonds and/or Notes.

1993 Wisconsin Act 16 (the State Budget Bill) established property tax levy rate limits for Wisconsin Counties, beginning with the 1993 payable 1994 levy. The Wisconsin Department of Revenue's Administrative Rules authorize an increase in the debt levy rate under certain conditions, including resolutions authorizing debt issuance that are adopted by affirmative vote of at least three-fourths of the members of the County Board. The County Board may also approve the issuance of debt by adopting a resolution which provides a reasonable expectancy that the new debt will not cause the County to increase its debt levy rate.

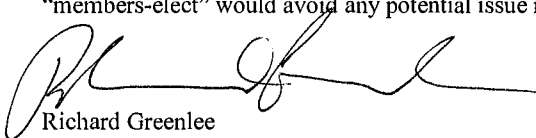


Sherry Oja  
Finance Director

LEGAL NOTE:

This is only an initial resolution. Pursuant to sec. 67.05(10), Stats., the County Board, before issuing any contemplated long-term debt, must adopt a resolution levying a direct, annual tax sufficient in an amount to pay for the express purpose of paying the interest on such bonds as it falls due, and also to pay and discharge the principal thereof at maturity. That will happen at a later date.

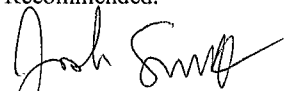
A majority vote is necessary to adopt this resolution. However, a three-fourths vote of the "members-elect" would avoid any potential issue relative to the debt levy rate limit.



Richard Greenlee  
Corporation Counsel

ADMINISTRATIVE NOTE:

Recommended.



Josh Smith  
County Administrator

**RESOLUTION  
ROCK COUNTY BOARD OF SUPERVISORS**

Katherine Luster  
INITIATED BY



Jennifer Thompson & Randy  
Terronez  
DRAFTED BY

Human Services Board  
SUBMITTED BY

May 14, 2019  
DATE DRAFTED

**Amending the 2019 Human Services Department Budget  
to Accept ADRC-COA Integration Grant Funds and Creating an Advisory Committee**

1 **WHEREAS**, the Wisconsin Department of Health Services has encouraged counties to explore  
2 integration with Aging Departments and Aging and Disability Resource Centers; and,  
3

4 **WHEREAS**, Rock County submitted a request for One-time funding and was awarded \$18,855 to  
5 investigate a possible integration of the Aging and Disability Resource Center and Council on Aging;  
6 and,  
7

8 **WHEREAS**, the project would contract with a UW Extension educator to facilitate the process that is  
9 estimated to take approximately seven months; and,  
10

11 **WHEREAS**, a ten member advisory committee would assist in providing direction and feedback on  
12 various phases of the project; and,  
13

14 **WHEREAS**, it is necessary to amend the 2019 budget to accept the grant funding to cover the project  
15 costs of the facilitator and Integration Study Advisory Committee.  
16

17 **NOW, THEREFORE, BE IT RESOLVED** by the Rock County Board of Supervisors duly assembled  
18 this \_\_\_\_\_ day of \_\_\_\_\_, 2019, does hereby authorize the acceptance of ADRC-COA  
19 Integration funding.  
20

21 **BE IT FURTHER RESOLVED**, that a ten member advisory committee be created with equal  
22 representation from the ADRC and COA representatives.  
23

24 **BE IT FURTHER RESOLVED**, that the Human Services Department budget for 2019 be amended  
25 as follows:

Account/Description	Budget <u>04/1/19</u>	Increase <u>(Decrease)</u>	Amended <u>Budget</u>
<u>Source of Funds</u>			
State Aid			
36-3683-0000-42200	\$1,056,307	\$18,855	\$1,075,162
<u>Use of Funds</u>			
Other Contracted Services			
36-3683-0000-62119	\$0	\$18,670	\$ 18,670
Program Expense			
36-3683-0000-64604	\$20,000	\$185	\$ 20,185

36

Respectfully submitted,

HUMAN SERVICES BOARD

\_\_\_\_\_  
Brian Knudson, Chair

\_\_\_\_\_  
Sally Jean Weaver-Landers, Vice Chair

\_\_\_\_\_  
Stephanie Aegerter

\_\_\_\_\_  
David Homan

\_\_\_\_\_  
Terry Fell

\_\_\_\_\_  
Ashley Kleven

\_\_\_\_\_  
Kathy Schulz

\_\_\_\_\_  
Terry Thomas

\_\_\_\_\_  
Shirley Williams

FINANCE COMMITTEE ENDORSEMENT

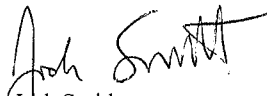
Reviewed and approved on a vote of \_\_\_\_\_

\_\_\_\_\_  
Mary Mawhinney, Chair

\_\_\_\_\_  
Date


ADMINISTRATIVE NOTE:

Recommended.

  
Josh Smith  
County Administrator

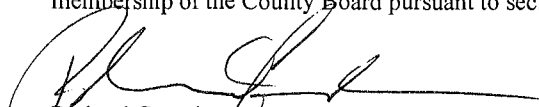
FISCAL NOTE:

This resolution accepts \$18,855 in state aid for exploring integrating COA and the ADRC. No County matching funds are required.

  
Sherry Oja  
Finance Director

LEGAL NOTE:

The County Board is authorized to accept grant funds pursuant to sec. 59.52(19), Wis. Stats. As an amendment to the adopted 2019 County Budget, this Resolution requires a 2/3 vote of the entire membership of the County Board pursuant to sec. 65.90(5)(a), Wis. Stats.

  
Richard Greenlee  
Corporation Counsel

### Executive Summary

The Wisconsin Department of Health Services has encouraged counties to explore integration with Aging Departments and Aging and Disability Resource Centers. Rock County submitted a request for one-time funding of \$18,855 to investigate a possible integration of the Aging and Disability Resource Center and Council on Aging and the grant award is pending official notification on or about May 16.

Approximately 54 of 72 Wisconsin counties provide services in a merged setting.

The grant project will contract with the UW Extension to facilitate a several month study of the investigation which will be guided by a ten member advisory committee. Equal representation from ADRC and COA will be solicited. The project will be concluded by the end of the year.



RESOLUTION NO. \_\_\_\_\_

AGENDA NO. \_\_\_\_\_

**RESOLUTION  
ROCK COUNTY BOARD OF SUPERVISORS**

The General Services Committee  
INITIATED BY



Brent Sutherland- Director of  
Facilities Management  
DRAFTED BY

The General Services Committee  
SUBMITTED BY

May 14, 2019  
DATE DRAFTED

**Retaining Architectural/Engineering Firm for Design Services for the Renovation of  
1717 Center Avenue Building and  
Amending the 2019 Facilities Management Budget**

1 **WHEREAS**, design services will be required for the renovation of 1717 Center Avenue property;  
2 and,

3  
4 **WHEREAS**, Venture Architects developed the Facilities Masterplan which included the Human  
5 Services building needs; and,

6  
7 **WHEREAS**, Venture Architects was one of three firms that was invited to Rock County to be  
8 interviewed and give a presentation to a panel consisting of members of Facilities Management,  
9 Sheriff's Office, Purchasing, Human Services and Administration; and,

10  
11 **WHEREAS**, Venture Architects from Milwaukee, Wisconsin, was the firm unanimously chosen  
12 based on experience conducting similar projects, team experience and bill rates.

13  
14 **NOW, THEREFORE, BE IT RESOLVED** by the Rock County Board of Supervisors duly  
15 assembled this \_\_\_\_\_ day of \_\_\_\_\_, 2019, that a contract for  
16 architectural/engineering services be awarded to Venture/Architects, of Milwaukee, WI, in the  
17 amount of \$724,000; and,

18  
19 **BE IT FURTHER RESOLVED**, that a \$72,000.00 contingency also be approved to cover any  
20 needed changes in the scope of service

21  
22 **BE IT FURTHER RESOLVED**, that the Facilities Management 2019 budget be amended as  
23 follows:

<u>ACCOUNT/DESCRIPTION</u>	<u>BUDGET</u> <u>5/1/19</u>	<u>INCREASE/</u> <u>(DECREASE)</u>	<u>AMENDED</u> <u>BUDGET</u>
<u>Source of Funds</u>			
18-1857-0000-49100	0	\$796,000.00	\$796,000.00
Notes issued			
<u>Use of Funds:</u>			
18-1857-0000-67200	0	\$796,000.00	\$796,000.00
Capital Improvements			

Respectfully submitted,

GENERAL SERVICES COMMITTEE

FINANCE COMMITTEE ENDORSEMENT

\_\_\_\_\_  
Hank Brill, Chair

Reviewed and approved on a vote of \_\_\_\_\_

\_\_\_\_\_  
Jeremy Zajac, Vice Chair

\_\_\_\_\_  
Mary Mawhinney, Chair

\_\_\_\_\_  
Yuri Rashkin

\_\_\_\_\_  
Tom Brien

\_\_\_\_\_  
Robert Potter

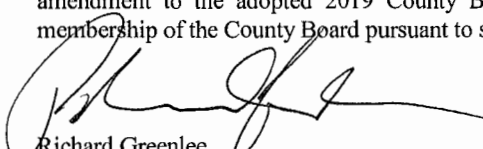
FISCAL NOTE:

This resolution authorizes a contract for design services for the building at 1717 Center Ave. This contract will be funded by a future debt issue.

  
Sherry Oja  
Finance Director

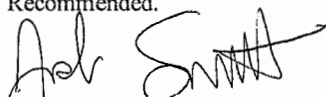
LEGAL NOTE:

The County Board is authorized to take this action pursuant to secs. 59.01 and 59.51, Wis. Stats. Professional services are not subject to bidding requirements of sec. 59.52(29), Wis. Stats. As an amendment to the adopted 2019 County Budget, this Resolution requires a 2/3 vote of the entire membership of the County Board pursuant to sec. 65.90(5)(a), Wis. Stats.

  
Richard Greenlee  
Corporation Counsel

ADMINISTRATIVE NOTE:

Recommended.

  
Josh Smith  
County Administrator

## **Executive Summary**

Retaining Architectural/Engineering Firm for Design Services for Renovation of  
1717 Center Avenue Building and  
Amending the 2019 Facilities Management Budget

The resolution before you awards a contract to Venture Architects of Milwaukee, Wisconsin, for design services for renovating the 1717 Center Avenue building for a new Human Services building.

Venture Architects of Milwaukee was chosen unanimously out of three firms interviewed by a team consisting of Human Services, Sherriff's Office, Purchasing, Administration and Facilities Management to complete the Masterplan which included the Human Services operations.

Due to timelines, cost savings and work already performed on the Human Services building needs, it is recommended to continue with Venture Architects for the design services.