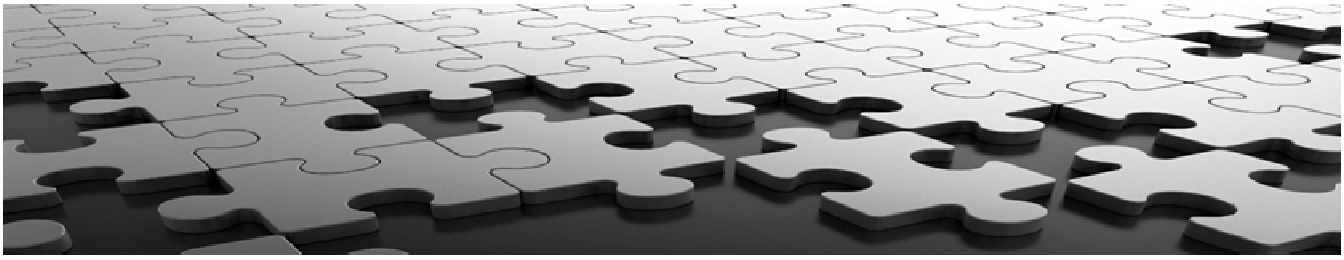

Tab 5 – Proposed Solution

Proven Solution. Experienced Team. Demonstrated Results.

The Deloitte Difference

Deloitte provides an integrated claims and benefits and adjudication/appeals solution with demonstrated and measurable production results. Our solution and approach has been fully implemented in multiple UC state agencies, will meet nearly *all* of AWI's requirements as is, and offers the following:

- Highly automated and single case management solution that spans all unemployment compensation (UC) business processes
- Integrated document management and case management applications so documents can be quickly linked with claims
- Single integrated business process for Appeals across multiple organizations to reduce data entry and improve access to data
- Web-enabled self-service features and multi-channel access for claimants to reduce reliance on staff and quicker access to their data
- Account management features aimed at reducing adjudicators workload, assignment queues, and enhancing the determination process
- Easier system maintenance through a built-in business rules capability that is already updated with American's Recovery and Reinvestment Act elements

According to Our Clients

"Even though uFACTS provides a baseline UI system it has provided the flexibility to create a customized UI system that will meet the standard and unique needs of Massachusetts."

Theresa DeMarco
UI Revenue Team Lead, DUA QUEST
Commonwealth of Massachusetts
Division of Unemployment Assistance

"The uFACTS solution was very helpful for us in Minnesota as a baseline for design. It helped jump-start the design process by giving my staff something visual to work with and modify rather than starting with a blank page. This allowed us to accelerate the design process, saving both schedule and staff time."

Deneen Andrades
Project Manager, UI TIP/State of Minnesota
Department of Employment and Economic Development

"Through our selection process, we chose Deloitte. The main reasons for our selection were: Deloitte was the only vendor with a true integrated UI solution framework (both Benefits and Revenue)…and Deloitte proposed a very strong team with significant UI experience, project experience and professional certifications…"

Bob Velten
Director of DUA Technology
Commonwealth of Massachusetts, Division of Unemployment Assistance

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5.1 Solution Overview

uFACTS Benefits

- A solution built on proven best practices in the unemployment insurance market designed for now and long term
- A base application designed to first meet core business needs so AWI can realize value early
- A development framework that supports tailoring the application to meet specific business and technology requirements
- A proven approach and methodology
- A knowledge repository to expedite design and enable efficient and low risk design and development

uFACTS is a proven solution framework that has demonstrated quantifiable results for our clients. Using uFACTS, our unemployment compensation (UC) industry clients have significantly improved the efficiency and effectiveness of their UC Benefits business processes. For example, the State of Minnesota experienced reduced staffing levels and improved service levels allowing the re-direction of staff from data entry to customer-facing tasks including complex problem-solving activities. A few highlights of these service-level improvements include:

- 100 percent of claimants use online or interactive voice response (IVR) functionality to apply for benefits and process continued claims. More than 85% use the self-service Web application and the remaining 15% access these services through the IVR. Of the claimants using the self-service Web application, approximately 87% process applications and continued claims with no staff intervention. These service levels and self-service adoption rates are the highest in the country for state UC agencies.
- Issue adjudication improved 100%. Adjudicators process twice the number of issues each week compared to issues processed with legacy processes. In fact, within six months from “go-live”, Minnesota experienced its first “no-backlog” day in its history of tracking issue backlogs.
- Adjudicators are completing 89% of separation issues within 21 days of detection, and 98.3% of non-separation issues are completed within 21 days of detection.
- The average age of a pending first level appeal is 20 days, and 83.6% of first level appeal cases are decided within 30 days of the date filed.

We have included detailed lists of service improvement metrics for each uFACTS Solution Framework functional module described within this section.

The uFACTS Solution Framework’s Benefits modules include:

- **Claims Services:** Addresses the complex UC Benefits processes involved in managing new and additional claims, processing wage determinations, establishing special programs, performing audits, and generating ETA Reports
- **Appeals:** Facilitates the collection, scheduling, and determination of appeals; this includes full integration between benefits services and SUNTAX (i.e., overpayments, charging, and monetary determinations).
- **Benefit Payment Control:** Processes continued claims, disburses payment to claimants, establishes overpayments, manages debt collection, performs cross-matches and quality assurance.
- **Adjudication:** Creates non-monetary issues, generates fact-finding to claimants and employers; manages workflow – automatically pushing workflow to adjudicators based upon their skill level and timeliness due dates; processes determinations including integration between Benefits services and SUNTAX.
- **Administrative Services:** Handles the administrative and staff operations involved in running a UC agency; this includes managing users, security, code table and rules maintenance, and template driven correspondence.
- **Reporting Services:** Provides for the management of fiscal reports, management and administrative reports, statistical reports, and ad hoc reporting and inquiries.

- **Common Services:** Provides important functionality crossing internal and external UC functions; this includes ICON, system and partner interfaces, document management, security, case management, and workflow.

Delivering Solutions Tailored to the needs of each State

"Even though uFACTS provides a baseline UI system, it has provided the flexibility to create a customized UC system that will meet the standards and unique needs of Massachusetts. The uFACTS framework in conjunction with Bearing Point staff expertise and professionalism has allowed our subject matter experts to embrace the potential and efficiency of our forthcoming UI system."

Theresa DeMarco
DUA QUEST
UC Revenue Team Lead
Commonwealth of Massachusetts
Department of Workforce Development

Exhibit 5-1 displays the uFACTS business and system functions across its integrated environment. Each module is integrated to enable shared services, database, and business processes.

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The uFACTS Solution Framework focuses on integrating common business processes onto one platform, eliminating labor-intensive data re-entry, and mandating data consistency and integrity. Each uFACTS module is customized to allow us to focus on your unique complexities, creating something that will wholly address each of your needs and improve the final product.

This section also describes how our proposed solution, uFACTS, accomplishes the following:

- Affords flexibility for AWI's day-to-day operations
- Provides simplified claimant access to UC information and services
- Offers intuitive and secure system interaction for agency users
- Facilitates user interaction, collaboration, and communication

The uFACTS Solution Framework and associated knowledge repository contains project management templates, prototypes, code artifacts, design documents, and best practices to design, build, and implement AWI's UC Benefits system. Overall, Deloitte's proven concepts, experience, and solution artifacts will reduce project risk and provide great value for AWI.

Our Proposed Solution distinguishes Deloitte as the industry leader in delivering UC modernization solutions.

In Tab 4 Project Approach and Methodology, we describe how we will meet and exceed AWI's project objectives with our Project Approach, customized for UC Modernization implementation projects, using project management processes that comply with industry standards.

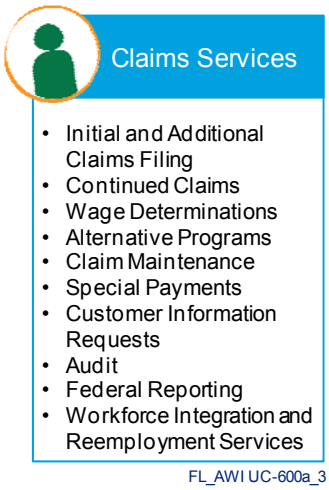
In this section we describe how AWI will meet and exceed its project objectives with our proposed UCCBIS solution:

- **Section 5.1 Solution Overview** provides a functional description of our uFACTS Solution Framework and the opportunities to transform your business processes.

- **Section 5.2 System Development** describes our system development lifecycle process that complies with industry standards and have been tailored based on extensive UC project experience for AWI.
- **Section 5.3 Technical Description** describes our proposed technical architecture, including specific hardware and software components, and its underlying benefits for AWI
- **Section 5.4 Warranty, Maintenance and Operations** outlines our post-implementation capabilities and compliance with AWI requirements.
- **Section 5.5 Value Added Services** – Innovative Ideas introduces AWI to Deloitte capabilities that may enhance our Proposed Solution.

In total, these sections describe a UCCBIS solution that meets and exceeds AWI project objectives AND positions AWI with a flexible solution to meet its on-going UC modernization demands and challenges.

5.1.1 uFACTS Provides Superior UC Benefit Services



5.1.1.1 Claims Services

Deloitte's uFACTS Solution Framework enhances staff capabilities by increasing workflow efficiency, automating processes, streamlining administrative tasks, and improving claimant services.

The Claims Services module of the framework incorporates the key technical and business requirements necessary to serve claimants. Its components focus on efficient and accurate claimant registration, wage determinations, claimant self-service, and the establishment and maintenance of alternative programs. These services can be integrated with the tax processing functionality in SUNTAX, leveraging the interfaces that Deloitte helped develop as part of the SUNTAX Unemployment Tax deployment.

In the details of the following pages, we describe the specific Claims Services components, associated process flows, and screen examples. Claims Services includes the following components:

- Initial and Additional Claims Filing
- Continued Claims
- Wage Determinations
- Alternative Programs
- Claim Maintenance
- Special Payments
- Customer Information Requests
- Audit
- Federal Reporting
- Workforce Integration and Reemployment Services

This module provides a secure login; an audited real-time interface with the Social Security Administration (SSA) and Department of Homeland Security (DHS); integration with employer wage information; real-time fact-finding to claimants; and important claimant messages and options that direct users to necessary tasks (much like a virtual UC Agent). In addition, the uFACTS Solution Framework accommodates creating, processing, and establishing alternative programs, such as Disaster Unemployment Assistance (DUA), Trade Readjustment Allowance (TRA), and Short Term Compensation (STC) based on a claimant's unique circumstances.

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uFACTS Claims Services	
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uFACTS Claims Services

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Initial and Additional Claims Filing

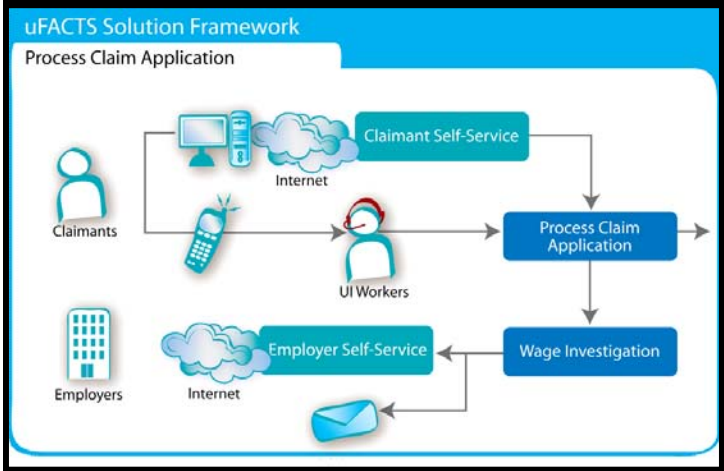
The Initial Claims sub-module is the basis for claims information collection. The process supports initial claims information collection and storage and links it to pertinent employer data, such as employment history and wages within the system. The Initial and Additional Claims Filing component facilitates the collection of claim data for a variety of programs including Regular UC, TRA, DUA, STC, State Extensions, and Federal Extensions. These functions are facilitated through the Interactive Voice Response (IVR), Claimant Self-Service, and Staff portals. The component goes beyond mere data collection by incorporating real-time identification of issues and integrating fact-finding data, and Interstate Connection Network (ICON) interfaces for the collection of employment and wage information for Combined Wage Claims, Federal Claims and Military Claims into the Initial Claims and Additional Claims filing processes. In fact, the uFACTS Solution Framework was the first solution to provide Web-services interfaces to ICON.

Our solution has been designed to facilitate high-volumes of self-service administration. In Minnesota, 85 percent of claimants now use the Web application to process their claims, which is a drastic increase from 31 percent pre-implementation; 87 percent of these claimants process 100 percent of their business online with no staff intervention. We are confident these results are due to the intuitive and efficient design of the uFACTS Solution Framework.

Did you know

The uFACTS Advantage

The implementation of uFACTS increased the adoption rate of claimant Web application processing (instead of IVR/call center processing) from 31 percent to 85 percent for our recent Minnesota UC Benefits deployment.



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Ease the claims process and lessen demands on AWI staff

An "intelligent questioning" feature streamlines the process for collecting data from claimants. Real-time and appropriate fact-finding per claimant reduces time to process the claim and provide correspondence to be mailed later.

Self-service features of the Initial Claims and Additional Filing process support claimants and staff in confirming timely and accurate data within the system. Increasing claimants' access to their claim information online can also reduce data entry and call center volume for staff so they can focus on quality of customer service. Data, entered in the system by the claimant, like work search, personal information and separation information is linked with claimant wage data, previous claim activity, and alternative program requirements and enables this module to expedite processing with accurate claims data.

The uFACTS Solution Framework includes an easy-to-use and intuitive application process that assists staff and claimants in completing applications quickly and accurately. The solution offers a robust, intelligent tree logic, directing the claimant down a particular path based upon answers within the application process. Issues are identified in real-time and appropriate fact-finding is provided to the claimant to simplify the process.

The uFACTS Solution Framework Simplifies Claim Filing for Claimants

- Automated workflow enables the user to step through the application process more efficiently, on their own
- The applications questions to be dynamically determined based on past responses to previous questions
- A visually displayed progress bar shows the user status and helps set expectations for completion of the process

Achieve a simplified and effective experience for your staff and claimants

The uFACTS Solution Framework intelligent tree structure guides the user through the collection of employment data and only asks for specific employment types (federal, military, or out-of-state) based on the response to previously asked questions.

The Initial Claim Process within the uFACTS Solution Framework includes the following processing features:

- **Simplifies the claim filing process for claimants** by stepping them through the application process, dynamically determining the questions to be asked based on past responses to questions and by displaying a progress bar so that claimants know exactly where they are in the process.
- **Validates the claimant's address to preserve data integrity,** once a claimant has verified his/her demographic information, an address validation process is initiated using address validation software. If the address cannot be validated, the claimant is provided the option to change the address or continue the application with the entered address.
- **Increases the upfront collection of separation information** by providing online validation of employment data. Claimants applying for a new or additional claim can submit diverse types of employment: in-state, out-of- state, federal, and military. If the claimant is authenticated via SSA, employment information on file is presented to him/her during the application. During employment collection claimants verify addresses where they worked, job titles and reasons for separation. The uFACTS Solution Framework uses this information to determine the benefits the claimant is eligible to receive
- **Generates appropriate real-time fact-finding to the employer and claimant** based on claimant responses. For example, when entering employment details, the claimant indicates the reason for separation within uFACTS. Based on the claimant's responses, the uFACTS Solution Framework generates the appropriate fact-finding to the employer and claimant. The claimant will complete his/her fact finding real-time as an integrated part of the claims application process.

The uFACTS Solution Framework automatically integrates employment and wage requests based on claimant responses with no staff intervention. This includes invoking the SIDI, IBIQ, IB4, 931 and DD214 interfaces and processing their responses automatically.

Reduce your staff's workload

The uFACTS Solution Framework reduces manual staff processes by automatically generating military and federal wage requests based on the employment type entered.

- **Automatically sends wage requests without staff intervention** for other states (IB4 requests), as well as federal (UCFE) and military (UCX) wage requests. The Combined Wage Transaction History allows staff to readily view IB4 requests, IB4 responses and IB5 transactions. In exception cases, staff can also use this screen to manually enter a request or response. Transactions can be sorted by sending state, receiving state, transaction type, date, or status simply by clicking the column header.
- **Interfaces with multiple agencies**, such as the Department of Homeland Security (DHS)to verify citizenship and the Social Security Administration (SSA) to verify the identity of claimants and set an authentication status, and other state and federal agencies to collect information, such as child support deductions.

After completing the required information, the claimant has the opportunity to review claim information prior to submitting the application. This allows the claimant to view all information entered during the application process, such as demographic, work search, and employment data, in one central location. This feature serves to improve the user experience, while reducing the application processing time.

The uFACTS Solution Framework manages alternative program applications in a similar process to Regular UC claim applications. Based upon eligibility requirements, uFACTS will present the proper application for programs such as DUA, Extended Benefits (EB), or TRA to the claimant.

Continued Claims

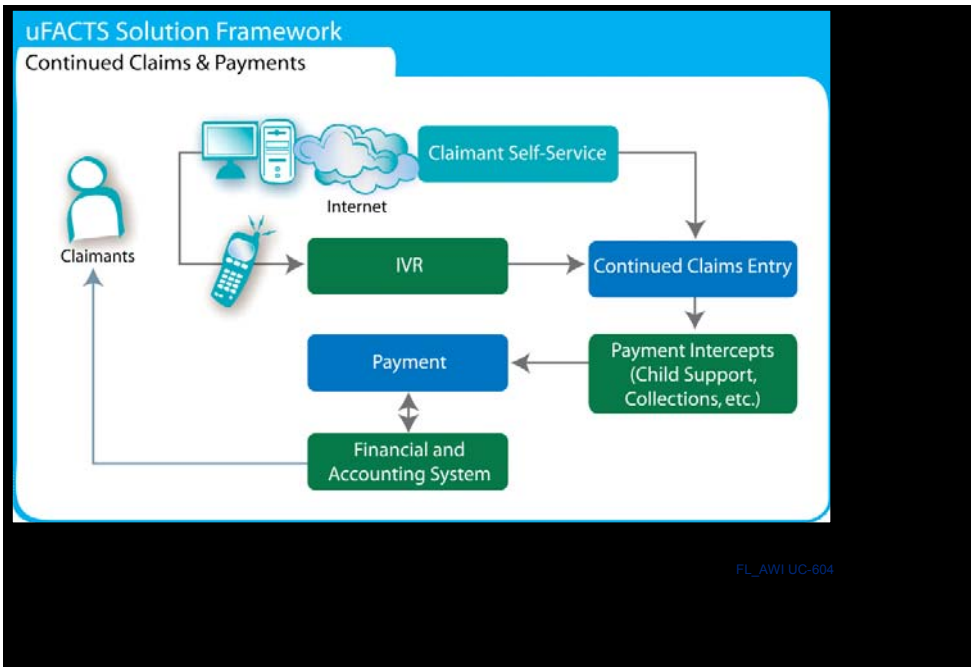
The uFACTS Solution Framework leverages Deloitte's extensive experience in automating unemployment benefits. We understand that enabling clamant and employer self-sufficiency increases cost-efficiency and customer satisfaction

The Continued Claims sub-module receives, validates, and processes continued claims for Regular UC, as well as requests for alternative programs such as STC, DUA, TRA, EB, or EUC. The uFACTS Solution Framework provides AWI customers with multiple service channels, including IVR and online.

The uFACTS Solution Framework's Determine Correct Path functionality only displays the "Request for Benefits" link to claimants when there is an available week to claim. In addition, with the built-in intelligence of the uFACTS Solution Framework, the solution is able to automatically detect the program for which the claimant is submitting his or her request. This is possible by comparing the period being requested with the monetary dates of the programs associated with the claim. For example, a claimant who is currently active on a state extension receives a different set of eligibility questions than a claimant who is active on a Regular UC program. This process within uFACTS ensures that claimants apply for the programs they are eligible for and are directed to the right UC services.

Once the uFACTS Solution Framework captures the continued claim data and validates the method and timeliness of the filing, uFACTS utilizes intelligent questionnaire logic to determine if the claimant's responses identified any non-monetary issues for adjudication. Based on state-specific business rules, an issue will be automatically generated for each occurrence. For example, these issues may include circumstances regarding work availability or ability where a claimant is not available to return to work. The process then tracks the status of these issues and assigns them for adjudication accordingly.

Exhibit 5-4 shows the Continued Claims and Payments process, which allows claimants to file claims through various methods.



The claimant is able to see the benefit amount they are entitled to and the next time they can request benefits upon submission of their continued claims request.

After the claimant completes the eligibility and, if applicable, employment questions, uFACTS requires the claimant to confirm the information entered in the Continued Claims Request Confirmation process. Claimants can review answers as well as modify any answers submitted on the continued claim. Upon receiving and validating a continued claim, the uFACTS Solution Framework calculates a real-time estimate of benefits for the claimant. This calculation incorporates pending and determined non-monetary issues, offsets, child support, tax, and earnings deductions, as well as any other deduction necessary per Florida statute. The Continued Claims sub-module calculates the remaining balance. Once a claim is exhausted, uFACTS will determine if the claimant is eligible for any additional programs.

Wage Determinations

Eligibility is determined real-time when claimants submit their account information.

The Wage Determinations sub-module describes how wage determinations are calculated and generated. Through this component, the uFACTS Solution Framework provides the ability to systematically calculate the maximum benefit amount, number of weeks in which benefits may be paid, and the weekly benefit amount for each claim type. This functionality will be possible through the integration with the SUNTAX system. Additionally, this component provides staff with the ability to make wage corrections after the filing of a claim.

Prevent costly errors and rework

The uFACTS Solution Framework calculates the claimant's monetary eligibility, including the WBA and MBA, in real-time as soon as the claim is submitted. Adding this logic drastically saves staff time and improves the overall accuracy of the claims process.

In addition to Regular UC, this component calculates monetary eligibility for DUA, TRA, EUC, EB, and any additional state or federal extensions. A monetary determination or redetermination is triggered by multiple processes, including the following instances:

- A completed application is submitted
- Wages are determined to be unusable by a non-monetary issue
- Base period is updated
- Claim is withdrawn
- Wages associated with the claim are updated (manually or automatically through interfaces)
- An extension of benefits or TRA claim is exhausted

AWI can maintain accurate and current monetary eligibility for claimants, because Deloitte continuously researches and applies the latest federal and state eligibility

requirements to our uFACTS Solution Framework. For example, the uFACTS Solution Framework has been configured to accommodate the recent modifications found within the 2009 American Reinvestment and Recovery Act (ARRA).

Free staff from making mundane, repetitive data entries

The uFACTS Solution Framework incorporates a common wage detail database so if an employer updates wages that have been used to establish a claim, an Amended Monetary is generated automatically (workflow can be triggered based on pre-defined criteria).

The uFACTS Solution Framework calculates benefits real-time when the claim is filed and displays the benefit amount to the claimant, provided that the wages are available at time of application submission. UC Benefits are determined based on regular base period or alternate base period as defined in Florida statute.

The process of automatically calculating an initial or adjusted wage determination is a prime example of the interface component that we'll build between the uFACTS Solution Framework Benefits system and SUNTAX. The integrated nature of the solution allows wage detail amounts to be retrieved and utilized, and wages to be marked as "used" in the wage detail database when a claim is processed — without staff intervention. This integration also allows for an automatic redetermination of a claimant's wage determination when wages in wage detail are updated by an employer or staff. Likewise, if wages are updated based on a claimant's affidavit, the uFACTS Solution Framework is automatically able to send this information to SUNTAX to trigger the adjustment of employer tax rate changes or penalties as appropriate based on Florida-specific rules. In addition to adjusting the monetary determination, uFACTS will automatically calculate any over or under payments based on a wage adjustment.

The scope of the Wage Determinations sub-module includes:

- Wage identification and classification (regular, federal, military)
- Calculation of a claimant's wage determination
- Notification of eligibility and entitlement
- Wage correction and entry
- Generation of wage requests (electronic and paper)

Some key processing features include:

- Non-monetary issues will automatically update wages and create a redetermination in cases of seasonal workers, workers with educational wages, alien workers who were not legally authorized to work, and workers with unusable military wages. The creation of a redetermination will call the over/under payment process.

Empower claimants to understand their own eligibility and benefits

The uFACTS Solution Framework provides a pre-monetary calculation for claimants to see the benefits they would be entitled to (should they submit a claim).

- Monetary functionality also provides a "pre-monetary" capability, allowing an immediate prediction of a monetary qualification based on available wages from Florida employers. This "pre-monetary" capability can also be used to determine eligibility for alternate or extended monetaries, based on Florida-specific rules. This pre-monetary functionality provides initial estimates of benefit amounts without generating a formal claim and monetary determination. A version of this functionality is also available to claimants before they file an application.
- The uFACTS Solution Framework provides staff with the ability to manually activate a claimant's pending monetary sequence. Staff can also view a history of the adjustments made to a claim's monetary determination. Sequence History functionality illustrates the general overview of each version of the monetary eligibility determination that has been made and allows staff to select a particular sequence (current or historical) in order to view the details for the selected version of the monetary.
- Staff can update the amount of wages reported for any base period quarter for any employer attached to the claim. The integrated nature of the uFACTS Solution Framework will pass these updates to SUNTAX, automatically updating the taxable amount due.

These features allow AWI to determine eligibility more quickly and accurately resulting in better services to claimants.

Alternative Programs

The uFACTS Solution Framework identifies claimants eligible for alternative programs based on the unique characteristics of each individual claimant.

The uFACTS Solution Framework captures the specific details to each declared disaster individually reducing the manual process required for DUA applications.

The Alternative Programs sub-module provides a mechanism for claimants who have exhausted their eligible payments or are not eligible for standard unemployment insurance benefits. The sub-module enables claimants to apply for benefits from a variety of additional assistance programs. Alternative unemployment insurance programs can be established and maintained for claimants by business users. Technical assistance is not required.

Programs, such as DUA, EB and EUC can be created and managed within the uFACTS Solution Framework. Thus, AWI is provided the flexibility to incorporate changes in laws or adapt future claims programs.

Additionally, claims filed under Alternative Programs use stored claimant demographic data, which means claimants do not re-enter data when applying for extended or trade readjustment benefits. Alternative programs are directly linked to the standard data collection processes; which means that uFACTS intelligently reviews claimants' circumstances to determine if they meet the alternative program requirements. In Minnesota, our client was able to quickly set-up and pay emergency unemployment compensation once approved by the President. In fact, they processed and paid claims for more than 9,000 extended benefit applications online in the first week of the first federal extension.

Improve data collection accuracy

The uFACTS Solution Framework provides the ability to customize each alternative program to the specific rules and regulations of the program declared.

[redacted]

Manage multiple alternative programs simultaneously

Alternative programs can be customized to identify broad or narrow ranges of eligible claimants as outlined in the rules for the declared program.

The uFACTS Solution Framework provides setup, maintenance, financial accounting, and overpayment management (rolling of weeks between programs) through business user screens. Our solution also allows agencies to manage multiple alternative programs at once; thus providing options for claimants to access and manage one 'case' using multiple programs. uFACTS provides logic to assign a hierarchy of programs, manages benefits charging/non-charging rules, and establishes timelines and triggers for program administration.

The flexibility to create and maintain the previously mentioned alternative programs provides the following benefits:

- The ability for claimants to receive benefits in an automated fashion when they are not eligible for standard unemployment insurance benefits
- Each alternative program is customizable to accommodate specific program requirements (e.g., effective dates of the program)
- Automated identification of eligible claimants based on their unique circumstances
- Flexible and easy to maintain changes that may occur for specific programs
- All programs are maintained in one integrated application
- The ability to arrange alternative programs in a hierarchical order to accommodate claimants who may be eligible for more than one program

The uFACTS Solution Framework provides the ability to customize the monetary determination based on the unique circumstances of each individual claimant.

In addition, the uFACTS Solution Framework provides the flexibility to base the alternative program by employer and the ability to charge the employer. Once the initial parameters of the alternative program have been established, the uFACTS Solution Framework provides the user with the ability to customize the wage determination criteria based on the unique characteristics of the alternative program.

Trade Readjustment Allowance (TRA) is fully integrated into our uFACTS Solution Framework. This program is not established using the alternative programs maintenance screens. Due to its complexity, TRA is fully integrated into the uFACTS base design. When Claimants have been approved for Trade Adjustment Assistance (TAA), uFACTS'

Prevent Needless Paperwork

When basic TRA is exhausted, the uFACTS Solution Framework determines if the claimant is eligible for Additional TRA. If the claimant is eligible, the uFACTS Solution Framework establishes an Additional TRA claim for the claimant without requiring the submission of a second application.

Determine Correct Path functionality automatically presents the TRA application to Claimants without staff intervention. Provided that the Claimant meets eligibility requirements, the System will automatically create a Basic TRA wage determination upon exhaustion of either a Claimant's Regular UC or Extension claim (depending upon which programs are active at that given point in time). Upon exhaustion of Basic TRA, if the claimant meets the training requirements, uFACTS will automatically create Additional and/or Remedial TRA monetary determinations as appropriate.

Short Term Compensation (STC) is also a core alternative program within the uFACTS Solution Framework. STC functionality incorporates self-service and workflow features into the creation, maintenance, and claims processes. Employers can apply for short term compensation via an on-line application through their self service portal. Applications are routed to an STC workflow queue for staff to review and make a determination. If the plan is approved, every claimant that files for benefits and is listed on the plan will automatically be placed on STC. When a benefit payment is made, uFACTS will automatically take into account the percentage reduction. Based upon AWI preferences, Employers can directly update their plans or updates can be sent to staff for approval. Continued claims can be processed either through one consolidated Employer certification or individually by claimants. Deloitte has developed the continued claims process using both approaches in other State UC agencies. Any discrepancies on the continued claim will create a workflow for staff review.

Claim Maintenance

Delivering Claimant Self-Service:

Claimant self-service allows claimants to perform more activities themselves, reducing the number of calls to AWI staff.

A key function within Claim Maintenance is the ability for the claimant to provide, via self-service, key information and transactions for themselves, thereby freeing staff from making mundane, repetitive data entries.

The uFACTS Solution Framework provides an intelligent Claimant Home Page tailored to the needs of each claimant. The home page provides a coherent channel to manage the claimant's relationship with UC and their claim. The "Virtual UC Agent", or "Determine Correct Path" functionality, provides claimants with messages related to outstanding fact-finding, re-employment activity, available weeks, or determination and appeals status. This information greatly improves the usability through self-service and expedites the collection of accurate data. In addition the services available to claimants are dynamically determined by the current state and status of the claim and/or claimant. For example, if the system has generated an overpayment for a claimant, then the service "Repay a UC Benefit Overpayment" will appear on the Claimant Home Page.

The Claim Maintenance component manages basic information for claimants. This information includes:

- Name and Identity
- Overpayment Details
- Bank Routing Numbers and Payment Preferences
- PIN and Security/Login
- Paper Correspondence
- Current and Previous Claim History (Payments/Determinations/Issues)
- Account Balance
- Contact Information (Address/ E-mail/Phone)
- Others (Dependents/ Employers/Transactions)

Claimants can also directly maintain information, such as bank routing and account numbers directly through IVR or be routed to staff for updates.
Exhibit 5-7 shows maintenance of claimant information.

Expedite the collection of accurate data

The uFACTS Solution Framework creates the Claimant Home Page dynamically based on the current status of the claim. For example, options for filing an extension claim or a weekly benefit request are only presented when appropriate.

[redacted]

The uFACTS Solution Framework provides staff with specific screens that contain a wider variety of options for maintaining a claimant's account.

In addition to updating contact information and other key information, claimants can access the Claim Maintenance module to view important information regarding their claim such as issues affecting payment. The Determination and Issue Summary screen displays a summary of the wage determination information, including Weekly Benefit Amount, Maximum Benefit Amount, and Effective Dates. It also displays a list of non-monetary issues and allows claimants to drill-down to the specifics of each issue.

The Account Maintenance sub-module provide both claimants and staff with the ability to manage information quickly and in real-time. The real-time update allows for better communication and effective management of claims.

Special Payments

The uFACTS Solution framework contains functionality to generate payments for all special programs as well as additional compensation (e.g., FAC). These payments are made automatically by uFACTS after the continued claim has been submitted and approved. Each payment is tied to the specific wage determination and program type so that all accounting and fiscal reporting are accurate.

Staff has the ability to process exception-based payment transactions in the system. For example, Staff can make past weeks requestable once again for the claimant. After indicating the week is requestable, uFACTS will automatically make those weeks available for the claimant on his/her homepage. In addition, when necessary, Staff can issue an alternative payment to a claimant in circumstances where payment must be made immediately despite the fact that there may be an eligibility issue that prevents the system from automatically disbursing the payment. These payments are all tracked on the claimant's payment summary and are still tied to the appropriate wage determination and program. This process can also be used to issue payments for non-UC programs such as TAA.

Customer Information Requests

uFACTS provides assistive content throughout all customer-facing screens in order to make processes intuitive and user-friendly. However, claimants and employers will often

still need special attention that requires staff follow-up. Additional information can be requested in two ways: IVR and online. If a customer requests information on the IVR, the customer will be immediately directed to a customer service representative unless the phone queue is unreasonably long or if it is after hours. In these cases customers can leave a voicemail message or be placed in a "virtual queue" where staff can call back at a later point in time. Information requests initiated on-line will be routed to a special workflow queue where staff can review requests and respond to individual customers as necessary.

Audit

AWI can gain comprehensive quality assurance reporting functionality that meets federally mandated BAM and BTQ reporting requirements.

The Audit sub-module allows AWI users to process audit reports to meet federal reporting requirements for Benefits Accuracy Measurement (BAM) and Benefits Timeliness and Quality (BTQ).

For BAM, uFACTS will randomly select cases for audit and in-depth analysis of UC accounts and provide an extract for auditors. Auditors can enter results into uFACTS which will initiate the ETA reports for US DOL. From this analysis, process evaluations are made, and policies are developed to facilitate accurate payment of UC benefits.

For BTQ uFACTS executes the monthly reports documenting the State's performance in a number of timeliness metrics. BTQ measures the quality of UC benefit decisions and lower authority appeals. Timeliness in rendering determinations, appeals, and paying UC benefits are also measured. Timeliness measures can be calculated automatically by uFACTS, and the system provides a user interface to

Transmit accurate data in a timely manner:

Deloitte has made it possible for States to automatically upload federal reporting data to the Department of Labor using the uFACTS Solution Framework.

Federal Reporting

The Federal Reporting sub-module reduces the agency's risk when designing, testing, and deploying these reports. Although the report specifications are standard, correctly interpreting data, validating and checking for errors, and tuning for proper reporting (performance) can provide tremendous value for AWI. Beyond the standard reports, the uFACTS Solution Framework also contains features to manage correspondence for Charge Statements to both federal (e.g., House of Representatives or Department of Homeland Security) and military (i.e., Department of the Army or Navy) reporting units.

The Federal Reporting component includes the following reports:

- ETA 191 – Statement of Expenditures and Financial Adjustments of Federal Funds for unemployment compensation for Federal Employees and Ex-Service members.
- ETA 203 – Characteristics of the Insured Unemployed.
- ETA 207 – Non-monetary Determination Activities.
- ETA 2112 – UC Financial Transaction Summary.
- ETA 218 – Benefit Rights and Experience.
- ETA 227 – Overpayment Detection and Recovery Activities.
- ETA 5130 – Benefit Appeals Report.
- ETA 5159 – Claims and Payment Activities.
- ETA 538 – Advance Weekly Initial and Continued Claims Report.
- ETA 539 – Weekly Claims and Extended Benefits Trigger Data.
- ETA 586 – Interstate Arrangement for Combining Employment and Wages.
- ETA 8401 – Monthly Analysis of Benefit Payment Account.
- ETA 8403 – Summary of Financial Transactions – Title IX Funds.
- ETA 8405 – Monthly Analysis of Clearing Account.
- ETA 8413 – Income-Expense Analysis, UC Fund Benefit Payment Account.
- ETA 8414 – Income-Expense Analysis, UC Fund Clearing Account.
- ETA 9000 – Internal Fraud Activities.
- ETA 9016 – Alien Claims Activity Report.
- ETA 902 – Disaster Unemployment Activities
- ETA 9047 – Reemployment of UC Benefits Recipients.
- ETA 9048 – Worker Profiling and Reemployment Services Activity.
- ETA 9049 – Worker Profiling and Reemployment Services Outcomes.
- ETA 9050 – First Payment Time Lapse.
- ETA 9051 – Continued Weeks Compensated Time Lapse.
- ETA 9052 – Nonmonetary Determination Time Lapse, Detection Date.
- ETA 9053 – Nonmonetary Issue Detection Time Lapse, Affected Week.
- ETA 9054 – Appeals Time Lapse.
- ETA 9055 – Appeals Case Aging.
- ETA 9056 – Nonmonetary Determination Quality Review.
- ETA 9057 – Lower Authority Appeals Quality Review.
- ES 202 – Quarterly Census of Employment and Wages (QCEW).

In addition to these reports, data validation programs generate and interface to DOL validation data at the report and element level. Data Validation is the investigation of samples of records to establish that the information in individual records is accurate and appropriate for reporting, and conforms to federal requirements. Records included in a sample are displayed along with the data elements to be validated in a data entry screen.

AWI can achieve expedited issue detection and accurate data collection across agencies with the uFACTS Solution Framework's workforce integration features.

Workforce Integration and Reemployment Services

In an age of improving integration and services, it benefits Unemployment Compensation as well as Workforce Agencies to work together in order to better serve shared clients and promote reemployment. The integration of unemployment compensation and workforce also improves the accuracy of data collection between the Agencies.

Data exchange is an important component of this integration. When setting up a new claim, the uFACTS Solution framework will push claimant information to reemployment services to create an account in that system with no staff intervention. This account creation can then trigger communication to the claimant regarding reemployment services and obligations. Demographic or contact information changes made on either system in the future can initiate a data update for the other Agency without staff intervention. In addition, the Agencies can share information regarding separation, refusal of suitable work, ability and availability issues.

[redacted]

In addition to common unemployment data, AWI must be informed of TAA eligibility information to approve a claimant for TRA. TAA is administered by Workforce agencies, so the most efficient way to exchange this information is through an interface between systems. If a claimant is receiving TRA payments, the Workforce Agency must also alert AWI of any changes in a Claimant's waiver or training status.

The uFACTS Solution Framework aids claimants in their job searches by providing integrated data from the Workforce Agency directly accessible from a claimant's home page.

The uFACTS Solution Framework delivers an innovative way of better serving claimants that includes directly posting potential job hits retrieved from the Workforce Agency on the claimant's home page. At the time of initial claims, the system associates a Standard Occupation Classification (SOC) code with the Claimant. Upon logging into the system, this SOC code and the claimant's location can be used to retrieve potential job hits. These hits can be placed on the claimant's home page. The claimant can select the various job postings to get more information about opportunities. In addition, the home page can be used for any important reemployment services messages, such as seminars or workshops or for posting general job search sites.

In addition to providing integration between workforce and AWI to assist in reemployment, uFACTS also contains a detailed profiling model to help detect claimants who are most likely to exhaust. The profiling scores are determined in the following manner as based on federal criteria:

1. The uFACTS Solution Framework will assign a profile score to each claimant.
2. The claimant answers questions in the initial application process that are used in a regression model.
3. The quotient is calculated and assigned to a claim.
4. Staff places the claimant into one of two selection pools depending on the claimant's scores: Reemployment Services Orientation (RSO) or Reemployment and Eligibility Assessment (REA).

The Quotient Maintenance Model screen, depicted in *Exhibit 5-10*, is used by staff to maintain the models used in the calculating and assignment of the quotient to a claimant.

[redacted]

The uFACTS Solution Framework offers claimants a variety of options when selecting a Reemployment and Eligibility Assessment session.

This process reduces the manual effort by staff and improves utilization.

While the uFACTS Solution Framework requires manual selection by staff in determining the session type (Eligibility Review, RSO, or REA), the system provides automated scheduling for claimants with a variety of options.

Once the claimant is selected to attend an in-person or telephone assessment session at a workforce center, the claimant can access an automatic scheduling process via the Internet or IVR service channels to be scheduled for an REA session. The application then updates the claimant account with the Workforce Center appointment information.

[redacted]

[redacted]

uFACTS helps AWI realize opportunity – Claims Processing:

- Improves call processing speeds, shorter queues and lower call wait times
- Lower AHT effectively increases claims center capacity
- Better monitoring and effective quality assurance due to efficient scripts and tools
- Reduces need for printing and imaging documents
- Complete view of claimant history helps claim processing
- More internet filings reduces number of calls to claims center
- More accurate data reduces the number of appeals and incorrect payments
- Improved caller experience

Claims Services Summary

Deloitte will work with AWI to identify enhanced ways of serving shared claimants and achieving opportunities.

Through new self-service features via the web or IVR channels, the uFACTS Claims Services module will enable timely and accurate data collection, ease maintenance and systems updates, and ease the burden on current and future staff.

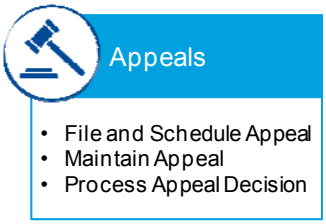
The automated features and interfaces will also optimize workflow and enable staff to perform more effectively so their focus can be on quality customer services. The uFACTS Solution Framework enables establishing alternative programs without additional coding, it will calculate monetary eligibility using wage data stored in SUNTAX at the time of initial application, and it offers quick automated data regarding benefits available for claimants without staff intervention.

Deloitte's UC Benefits solution was implemented in the State of Minnesota in October 2007. Over the past two years, Minnesota achieved the following UC claims service levels as a result of the uFACTS Solution Framework.

[redacted]

[redacted]

5.1.1.2 Appeals



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Processing an appeal follows a similar path as the adjudication process. Screens mirror each other closely. This consistency provides a common look and feel within issue management and assists AWI managers to cross-train staff.

The uFACTS Solution Framework includes a comprehensive process to allow claimants and employers to file appeals and for AWI to manage this process. The uFACTS Appeals module enables employers and claimants to appeal determinations and initiate due process hearings. It also provides recourse for appealing hearings with the appropriate state-specific entities (i.e., review boards and court systems).

The uFACTS Appeal processes are similar to the Adjudication module processes. Similar processes include: issue resolution, recalculation, correspondence generation and event/history logging. The integrated design across the uFACTS Solution Framework demonstrates efficiency, expedites development, and eases training in implementation.

The Appeals module is designed to track the duration of appeal rights from determinations and appeal decisions and facilitates the submission of appeal requests by employers and claimants. It further enables the creation of appeal dockets, manages the scheduling and rescheduling of appeal hearings, and provides case management of electronic appeal files. It also supports the documentation of Appeal decisions and the generation of Appeal determinations.

The Appeals module within uFACTS includes the following components:

- File and Schedule Appeal
- Maintain Appeal
- Process Appeal Decision

Appeals are accessible through claimant and employer self-service online as well as through IVR.

Exhibit 5-13 highlights the features and benefits of uFACTS Appeals Services.

[redacted]

File and Schedule Appeal

Reduce demands on AWI staff:

Filing an appeal is an intuitive, step-by-step process for claimants and employers. Staff intervention is not required.

Consistent with other services provided by uFACTS, employers and claimants can appeal issues using self-service functionality. The File and Schedule Appeal sub-module tracks the appeal period, and depending on AWI's business rules, can remove the ability to appeal the issue, auto-dismiss the appeal, or create a staff workflow for follow up upon the expiration of the period.

Self-service features enable a claimant and employer to initiate the File and Schedule Appeal process directly. The appellant simply enters appeal information such as contact information, attorneys and witnesses, and uFACTS presents up to three scheduling options (These features will be customized based on AWI specific rules). We will work with you to develop business rules that set the appropriate time range for selection options. If three slots are open within the time range, at least one option is selected. Once selection, date, time, and appeals referee are reserved and blocked from being selected by another appellant.

Keep scheduling consistent among appeal referees:

The uFACTS Solution Framework's Appeals module automatically schedules the appeal hearing with the first available time slot within a date range specified by AWI.

After the appellant selects his/her scheduling option and submits the appeal request, workflow is initiated and uFACTS creates an electronic docket or case file. The electronic case file links the pertinent information and documentation from the original determination and the appeal. This is accomplished through FileNet document management integration with the uFACTS Solution Framework.

When staff is scheduling an appeal on behalf of a claimant, they receive additional scheduling options. Scheduling options include:

- **Automatic:** uFACTS chooses the first time slot available within the given acceptable range.
- **Manual:** Manual scheduling prompts uFACTS to display the Appeals Referee Monthly Calendar. From here staff can choose whichever judge and time slot is available.
- **Combined:** Combined scheduling is displayed if the claimant already has one or more hearings scheduled. Staff can select to combine multiple issues into one hearing.

Make schedule tracking a breeze:

Appeal referees and staff can access a high-level view of a referee's schedule from the monthly calendar screen. Issue IDs are linked to a separate screen that provides basic issue details.

If staff selects manual scheduling, the uFACTS solution framework will present the Monthly Appeals Referee Schedule. Within uFACTS, staff can view each referee's schedule, in tandem with open and filled time slots. In addition, staff can also add notes and manually combine hearings if necessary.

Staff also has the option to reschedule a hearing; they can choose the daily or the monthly calendar view. After selecting a new hearing date and/or time, the uFACTS Solution Framework automatically generates a new Notice of Hearing and moves the workflow accordingly.

After an appeal is filed and workflow is created, the appeal is sent to the corresponding referee's inbox. From here, the appeals referee is able to review appeal information and any additional documentation, enter a decision, or place the appeal in pending status.

Maintain Appeal

The uFACTS Solution Framework's Maintain Appeal Records component allows employers and claimants to manage their own appeals. Appellants and staff can add/remove witnesses and/or attorneys and request an interpreter. This functionality helps to greatly reduce staff time and effort.

The Maintain Appeal process also provides staff with the capability to add, remove, or update any interested parties (which include interpreters, attorneys, and witnesses), withdraw the appeal, add notes, or reschedule the appeal hearing.

Process Appeal Decision

Decrease the processing time for decisions:

AWI can populate standardized decision text, allowing judges to edit the text as much or as little as necessary. Also, judges can pre-populate and edit decision text, saving valuable time when typing decisions.

The Process Appeal sub-module incorporates functionality to process the appeal workflow, implement the effect of the decision, generate decision correspondence, and integrate with benefit charges and the over- and under- payments process. After an appeal is filed, the uFACTS Solution Framework creates a workflow and places it in the appropriate referee's inbox. To process the decision, the referee selects the workflow and begins the appeal process. Appeals referees have easy access to their issues that are pending hearing or pending decision, and they can complete these issues in as little as four steps:

1. To begin the process, the referee reviews the basic information regarding the appeal issue and determines the proper issue and sub-type that best reflects the issue being appealed.
2. The referee then selects a rationale for the decision. These rationales drive the effect on the claimant's and employer's accounts behind the scenes. Rationales also drive decision text within the uFACTS Solution Framework.
3. The referee then selects the recipients of the appeal decision.
4. The final step is to validate the information and submit the decision. Once the referee submits the decision, the workflow is complete and correspondence is queued to be printed and processed.

If the appeal is a Second Level Appeal or Higher Court Appeal, the process flow is slightly different. As with adjudication and processing a First Level Appeal, the first screen in the process will also be the Issue Details screen. This gives consistency to the flows and trains staff to always go to the same spot to look for an issue's attributes. However if the appeal is a Second Level or Higher Court Appeal, the second step in the process requires the judge to indicate if he or she will Modify/Reverse the preceding decision, affirm the preceding decision, or order a new hearing.

Did you know

The uFACTS Advantage

Due to our efficient scheduling process and our appeal workflow functionality, 83.6 percent of first level appeal cases in Minnesota are decided within 30 days of the date filed.

The Process Appeals component is fully integrated with other UC Benefits services. Based upon an appeal decision, the uFACTS Solution Framework can update benefits charged to an employer or hold a claimant overpaid for a week. If the appeal was with regards to the use of wages, uFACTS not only integrates the monetary process but would also integrate with SUNTAX as necessary.

Appeals Summary

The uFACTS Solution Framework reduces workload on staff and empowers claimants to take charge of their own cases by using self-service functionality. This functionality allows claimants and employers to file, schedule, and maintain appeals without staff intervention. Workflow is managed by uFACTS and is pushed to the correct judge based upon the scheduling logic designed in uFACTS. AWI will notice the consistency and the transition ease between the Adjudication and Appeals modules within uFACTS.

In Minnesota, uFACTS significantly improved appeals services, and we are prepared to effect similar results for AWI. Some of the appeals service levels achieved in Minnesota, using uFACTS, include:

[redacted]

5.1.1.3 Benefit Payment Control

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The uFACTS Benefit Payment Control module includes functionality that processes benefit payments for all UC programs. It is tightly integrated with the monetary, adjudication, and appeals processes, only paying claimants who are determined eligible.

To meet DOL First Payment Timeliness standards, monetary determinations are calculated in an expedited manner, and non-monetary fact-finding is performed upfront so issues can be adjudicated as soon as possible. Deductions, withholdings, and any applicable offsets are taken from the payment before disbursement to the claimant. When overpayments are established, uFACTS provides multiple options for collection, including payment plans, tax intercept and garnishments. Once established, these processes do not require any staff intervention. In addition, claimants can make a repayment using self-service functionality at any point in time.

This module also contains program integrity functionality that incorporates cross-matches and inquiries to detect fraudulent activity. “Hits” from cross-matches can automatically create non-monetary issues or be routed to staff workflow for a preliminary review.

Exhibit 5-15 highlights the features and benefits of uFACTS Benefit Payment Control Services.

[redacted]

Payments

Claimants and staff can quickly determine from which account benefits are paid and any deductions that might have occurred.

Upon receiving and validating a continued claim, the uFACTS Solution Framework calculates a real-time estimate of benefits for the claimant. This calculation incorporates pending and determined non-monetary issues, offsets, child support, tax, and earnings deductions, as well as any other deduction necessary per Florida statute. Once a claim is exhausted, uFACTS will determine if the claimant is eligible for any additional programs.

All payments are tied to a specific wage determination, program type, and requested week. This linkage keeps all accounting and fiscal reporting in order. Payment can be distributed via checks, debit cards, or direct deposit. Claimants have the ability to change their preferred payment method at any time during the claim.

Payment History

Achieve a fully integrated system that tracks payments and eligibility across benefits

The uFACTS over/under payment subcomponent is fully integrated with our monetary and non-monetary processes. Any adjustment made to monetary eligibility or change made to a non-monetary determination results in a call to the over/underpayment process. The system tracks and records overpayments that are above a threshold (determined by AWI).

Our Payment History screens provide claimants and staff the ability to search for and view payment data related to a particular claim. The payment data displayed includes the Weekly Benefit Amount, Deductions, Other Distributions, and the Net Payment Amount. The status of each week claimed and when the payment was made for that week is also displayed so that staff and claimants can determine which weeks were paid or not paid and the associated reasons.

Staff can view the details of the deductions from the Payment Information process. These deductions can come as the result of earnings reported for the week being claimed or continuing sources of income such as Social Security Benefits or Pensions.

In addition, the Payment History screens provide information on other distributions that are made as well. These specific distributions that were taken from the weekly benefit amount (i.e., withholdings and adjustments) are listed in detail, if applicable. These distributions may include offsets to repay state overpayments, child support withholdings, and federal and state tax withholdings.

Overpayment and Repayment Management

The Overpayment and Repayment Management component provides easy self-help payment management for claimants, including the following functionality:

- View Overpayment Balance
- Create a Payment Plan
- Make a Repayment online

Information views can be customized within uFACTS to determine what specific data a claimant can view online, enabling claimants to focus on relevant overpayment and repayment information and easily navigate through the process. The Overpayment Summary process allows claimants to view up-to-date information including the current Overpayment Balance and previous repayment transactions (Payments and Offsets). A claimant can be routed directly to the Overpayment Summary process by a message provided on their home page.

If desired, the claimant can view details for each individual repayment during this process. The confirmation number, process date, and payment type assist the claimant in reconciling these payments. The claimant can select the option to make a repayment or create a payment plan from the overpayment summary process.

If the claimant would like to make a payment he/she can select the “Make Payment” option from the Overpayment Summary process. They will then be directed through the repayment process. If the claimant selects to pay by electronic check, he/she will be presented with the Electronic Check Payment process where the claimant can process the repayment.

In addition, uFACTS contains specific overpayment information for UC staff. The Overpayment Detail process allows the claimant or staff to view key details regarding overpayments. If the overpayment is related to fraudulent activity, a penalty amount is displayed.

If a claimant would like to create a payment plan to repay the overpayment, the process begins by collecting the claimant's monthly gross income.

Based on a claimant's monthly gross income, the uFACTS Solution Framework can calculate a payment plan to repay outstanding overpayment balances. If the claimant does not agree with the payment plan, a workflow is generated for staff to determine if an exception should be made.

The uFACTS Solution Framework uses the monthly gross income to determine the appropriate monthly amounts on the payment plan. The payment plan functionality allows claimants to indicate whether the proposed payment is too high or too low. If either of these options is indicated by the claimant, uFACTS will adjust the desired payment amount and create a payment plan from that amount. Once a payment plan has been accepted by the claimant, a payment plan agreement letter is generated and mailed to the claimant.

In addition to payment plans, uFACTS can establish garnishments and liens, per Florida statute to collect on benefit overpayments.

Intercept Management

The Benefit Intercept Management sub-module allows staff to manage, and claimants to view, the following elements:

- Child support orders
- Other state overpayment information
- Federal and state tax intercepts

The self-service elements of uFACTS allow claimants to manage their claim deductions, while established interface 'hooks' to state child support and UC overpayments provide agencies a well-integrated approach to manage intercepts. Deductions assigned or identified through the intercept process are directly withheld from claimant payments and accounted for through the financial accounting and reporting elements of the uFACTS Solution Framework.

The uFACTS Solution Framework is able to calculate deductions from a weekly claim systematically based on the claimant's responses during the continued claims request.

The uFACTS Solution Framework Intercept Management component allows for outstanding child support to be deducted automatically without staff intervention.

The uFACTS Solution Framework allows the claimant or staff to view and add child support from within that claimant's account. If existing child support orders exist, the details will be returned on the Child Support Summary process. If an additional child support order is to be added, the state is selected, and uFACTS will prompt the user for additional information.

The details required for establishment of a new child support order include; County, Case Number, Intercept Percent, Weekly Maximum, Charge set up and status of the intercept. Based on the combination of the State and County, the uFACTS solution will determine the correct child support agency to which the monies will be sent. The payments process will use the weekly maximum and intercept percentage in the calculation of a claimant's authorized payment and deduct the required amount of child support. If the child support order is complete or is no longer enforced, staff will access the claimant's account and inactivate the intercept.

The uFACTS Solution Framework functionality facilitates the recovery of other State overpayments and automates transfers to the correct State agency.

The uFACTS Solution Framework also allows staff to add other state overpayment information. uFACTS will utilize functionality within the payment process to offset for these overpayments. Payments will then be made to the other states by check or electronic funds transfer. If the Other State Overpayment has reached the maximum amount or the Effective End Date, the overpayment offset is no longer deducted. Staff can also manually inactivate the Other State Overpayment Intercept as required.

An additional way for states to collect on overpayments is through state and federal tax intercepts. The uFACTS Solution Framework can interface with Florida's Department of Revenue and the Internal Revenue service per AWI's business rules. This process does not require any staff intervention and would apply the payments to the corresponding claimant's account automatically.

Modifications and Adjustments

If an account change occurs that requires an alteration to the program in which benefits are paid, the uFACTS Solution Framework updates federal reports to reflect the corrected paying program.

The Modifications and Adjustments component is an automatic process which monitors for key events, such as a monetary re-determination or the addition of earnings to a prior benefit week, and automatically generates the appropriate account adjustments. The system tracks and records overpayments that are above a threshold (to be specified by AWI), resulting in more overpayments established for recovery. It recalculates the amount paid for a specific week on a claim when a change in critical claim data occurs (i.e., monetary wages or an adjudication decision change). Based on the account change, the Modifications and Adjustments component generates a supplemental payment or overpayment, and adjusts the associated employer charges accordingly.

The uFACTS Solution Framework updates appropriate employer charges related to claimant account activities.

Adjustments often occur on a claim that may affect payments on multiple programs as well as the effective dates of those programs. The "Rolling Weeks" process works in combination with the adjustment process to automatically process over and under payments based on the claimant's individual circumstances.

Program Integrity

AWI can increase the solvency and integrity of your UC program trust fund. The uFACTS Solution framework provides the technology to identify integrity issues and fosters a tight relationship between claims, adjudication, and collections to aid in recouping any monies owed. The Program Integrity sub-module allows staff to identify potential concealment of work and earnings. Once integrity issues have been identified, the uFACTS Solution Framework has the capability to automatically open a case or require manual staff intervention.

[redacted]

Detect fraudulent activity without difficulty

AWI can gain Detect fraudulent activity without difficulty:

With the New Hire Inquiry Process, staff can easily see if a claimant fraudulently received unemployment benefits while employed.

The uFACTS Solution Framework offers a variety of tools to help identify potential cases of improper payments. This component offers automated tools as well as manual functionality to identify potential integrity issues.

The New Hire Inquiry Process Uncovers Discrepancies

The New Hire Inquiry process completes a real-time automated cross-check of benefit payments with SUNTAX to identify weeks in which a claimant received both unemployment benefits and was reported by an employer as being employed. This function allows staff to search for and investigate individual claimant's employment information to identify discrepancies.

The New Hire Inquiry process provides a place for staff to search the New Hire information within the database to find information about a particular claimant/SSN. Search results are returned, and staff selects the desired claimant to view New Hire details. Once a claimant of interest has been identified, a summary listing of all employers who reported data regarding the claimant are displayed. Staff elects an employer of interest to view the New Hire information provided by the employer.

This functionality enhances staff's ability to detect the possible occurrence of fraud activity. Staff can easily see if a claimant requested and was paid benefits for periods of employment that he did not report. If the claimant did receive benefits during the time they were reported by National new hire as employed, staff can easily see if the employment was reported by the claimant.

The New Hire Cross Match component is an automated cross-check of benefit payments with the new hire database to identify weeks where a claimant received both Unemployment Benefits and was reported by an employer as being employed. The uFACTS Solution Framework will perform a cross-check of benefit payments with the new hire database to identify weeks where a claimant received both Unemployment Benefits and was reported by an employer as being employed. Records returned or "Hits" are ordered by hire date (ascending) and grouped to streamline staff processing. Once all claimants within a group have been researched Fact-Finding can be generated as needed. If fact-finding has been generated to the claimant, by electing the Issue ID staff can quickly view the details regarding the Issue that was created, and the Fact-Finding correspondence that was sent. If no action is required the hiring group is purged based on a Commission defined time period following the Cross Match run date.

The General Information Cross-Match Detects Identify Fraud

The General Information Cross-Match performs an automated cross-check of claimant information in order to detect potential identity and payment fraud situations. The uFACTS Solution Framework compares several elements of the claimant's account, such as address, phone number, and email address to detect multiple payments to the same address. Management reports are available for maintenance of this process.

The Banking Information Cross-Match Catches Multiples

The Banking Information Cross-Match performs an automated cross-check of claimant banking information in order to detect situations of multiple claimant account payments that are going to the same bank account routing number combination.

This automated cross-check occurs with establishment of a new or modification of any existing claimant bank account routing number combinations. The new combination is compared to all existing bank account and routing number combinations previously recorded. The uFACTS Solution Framework compares the following elements:

uFACTS helps AWI realize opportunity – Control and Reporting:

- Faster and easier detection of frauds and over/under payments
- Reduces time and effort for Federal and State reporting
- Availability of current, accurate performance data helps early identification of areas needing operational improvement
- Improved ability to forecast and plan
- Savings due to lower number of frauds and overpayments
- Easier filing and tracking of recovery cases in court

- Bank Account Number
- Account Type
- Bank Routing Number

Like the other cross-match functionalities contained within the uFACTS Solution Framework, staff has the ability to assign an individual to investigate further each instance and take appropriate action. To allow staff to quickly see all claimants with similar bank routing information uFACTS organizes identified claimants by Financial institution account number.

The Wage Detail Cross-Match Identifies Overpayments

The Wage Detail Cross-Match identifies potential overpayments resulting from a claimant's unreported or under reported earnings. This automated cross-check is run daily and compares the claimant reported earnings for the week requested, with the earning information provided by the employer through their wage detail submissions.

The uFACTS Solution Framework will display claimants with the largest difference in their reported earnings first and the claimants with the smallest earnings discrepancy last, streamlining the process for staff. An additional feature of the uFACTS Solution Framework is the ability for staff to manually identify specific accounts for further analysis. The trigger can be based on an employer tip or other information suggesting a potential improper payment.

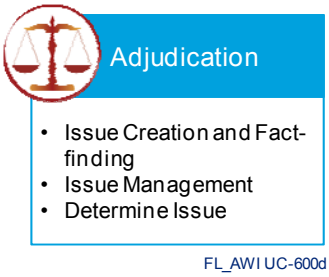
Integrity Requirements Help Eliminate Fraudulent Activity

UC Program Integrity requirements necessitate a strong, and robust federal, state, and integrity reporting component, as well as the capability to discover, track, and address fraudulent activity. The uFACTS Solution Framework delivers on each of these needs, serving information to users and partner systems, as prescribed by federal, state, and intra-departmental guidelines.

Over the past two years, Minnesota has achieved the following UC benefit service levels, using the Benefit Payment Control features within the uFACTS Solution Framework. Deloitte is prepared to make a similar impact for AWI.

[redacted]

5.1.1.4 Adjudication



The uFACTS Solution Framework Adjudication module allows individual UC organizations to create, track, and adjudicate issues. After an issue has been created, the Adjudication module will send out any necessary fact-finding documents and route issues to the appropriate adjudicator for processing.

The Adjudication module within uFACTS allows staff to create and adjudicate issues — either before or after a benefit is paid. The process begins when an issue is created. The majority of issues are generated automatically during the Initial Claims or Continued Claims processes; however, staff has the capability to create an issue manually. After an issue has been created, the uFACTS Solution Framework integrates the fact-finding into the initiating process, making the experience seamless for the user.

Deloitte's uFACTS Solution Framework has a proven track record of handling large-volume payments and processing numerous claimant and employer issues. In Minnesota, uFACTS has paid more than 40,000 benefit payments per week.

In addition to fact-finding beginning with the party that created the issue, the system will generate fact-finding for other interested parties if necessary. This fact-finding request can be sent either electronically or through a paper notice. Once the fact-finding has been received or the due date for fact-finding has passed, based on AWI-specific rules, uFACTS marks the issue as "ready-to-be-worked" and assigns the issue to an adjudicator.

In some cases the answers given through fact-finding provide the information required to auto-adjudicate an issue and create a determination without staff interaction. This process is tightly controlled by state-specific policies and easily modifiable business rules, resulting in a reduced adjudication workload and an expedited determination generation process.

If fact-finding has been received but additional information is needed, staff members can resend fact-finding or create a custom fact-finding document. Once the adjudicator is confident he/she has all the necessary information, he/she proceeds with the adjudication process.

The following exhibit highlights the features and benefits of uFACTS Adjudication Services.

[redacted]

Benefit from an integrated system

The Issue Summary process gives staff a high-level look at all the issues that affect or have affected a claimant. Issues are assigned to a claimant, not to a specific benefit account, so staff does not have to switch between accounts to view issue information.

uFACTS works behind the scenes with intelligent automation, making the experience seamless from the user's perspective.

Issue Creation and Fact-finding

The Adjudication module begins when actions are taken by a claimant, employer, or staff initiates an issue. The majority of issues are generated automatically during the Initial Claims or Continued Claims processes; however, staff has the capability to create an issue manually if deemed necessary. After an issue has been created the uFACTS Solution Framework undergoes several steps, making the experience seamless from a user's perspective:

1. Gathers the fact-finding from the party who created the issue.
2. Determines the complete list of interested parties for the issue.
3. Decides if any fact-finding information is needed from any parties.
4. Sends a request for additional information if needed, either electronically or through a paper notice (depending on the party's communication preferences).
5. Integrates the collection of information needed to adjudicate the issue into the underlying claims application process.

In some cases the answers provided through fact-finding — or the fact that fact-finding was not returned — allows uFACTS to auto-adjudicate an issue and create a determination without staff interaction. This process is tightly controlled by state-specific policy and business rules but can serve to reduce the adjudication work-load and expedite the determination generation process.

When reviewing fact-finding, staff has access to view a PDF image of any document that has been submitted by an interested party, including both claimants and employers.

Once the issue details and fact-finding has been reviewed, staff has the option to either request additional fact-finding or adjudicate the issue. If staff chooses to create additional fact-finding he/she can either select a fact-finding template or create a completely custom

fact-finding notice. The uFACTS Solution Framework also allows the adjudicator to manually select a due date so that the Solution is able to track timeliness of the issue.

Promote staff efficiency

Our multi-claimant template allows staff to efficiently adjudicate a common issue for multiple claimants simultaneously.

In order to create an issue, staff will be presented with the Create New Issue process where he/she is able to select an issue type and sub-type. Sometimes there is a need to create an issue that affects multiple claimants for a given employer and circumstance. The Multi-Claimant/Mass Layoff process provides staff with an efficient method for processing multi-claimant issues. Staff will set up specific criteria for the issue, and using this information uFACTS will automatically associate claimants.

Issue Management

The uFACTS Solution Framework provides a flexible, table-driven approach to issue management, which allows the Agency's staff to easily configure how issues are prioritized and routed to adjudicators. The primary mechanism for distributing issues for adjudication utilizes our integration with FileNet to intelligently route issues to an adjudicator's workflow inbox. This process involves assigning issues to appropriate adjudicators, using criteria such as *the priority of the issue to the business, the skill set of the adjudicator, and the timeliness due date of the issue*.

Provide enhanced, more accurate information to Adjudicators

uFACTS' Fact-finding Questionnaires present targeted questions based on the identified issue type and sub-type.

One key aspect of issue distribution is determining which issue to push to an adjudicator depending upon his/her skill set. This process is facilitated by the use of adjudicator skill profiles — each adjudicator's skill level is set for a queue (High, Moderate, Low, or None). The designation controls which adjudicators are given access to which types of issues and allows the uFACTS Solution Framework to assign the issue to the most qualified adjudicator available. *Exhibit 5-20* illustrates how issues are routed to the appropriate adjudicators.

Did you know

The uFACTS Advantage

In Minnesota, staff now process more than 8000 issues per week — that is more than double the issues processed using the legacy system.

[redacted]

Empower supervisors to manage and control adjudication

With Queue Access, an Adjudicator's queue access can be changed real-time to either open up or close off groupings of issues.

In addition to the automated issue dispensation process, management staff has the ability to monitor issue queues and assign or reassign issues to adjudicators manually. This process begins by reviewing the Queue Management process which provides a list of all

of the active queues and the number of items currently in each queue that need to be worked. When a Queue Administrator feels that items are backing up in a queue, he/she may choose to assign issues in that queue to other adjudicators.

After an issue has automatically or manually been assigned to an adjudicator, the issue is added to the adjudicator's Inbox. From here, the adjudicator can access the issue and begin the adjudication process within uFACTS.

Determine Issue

After adjudicators select the issue in their inboxes, the uFACTS Solution Framework presents the Issue Details process. Adjudicators are able to view issue details, as well as access fact-finding and issue notes, to determine if there are any pending issues. Adjudicators are also able to update necessary issue details before proceeding further into the process.

Customization lets Adjudicators get to the heart of the issue.

The custom fact-finding screen allows Adjudicators to create unique and specific rebuttal questionnaires.

After the adjudicator has the information required to render a decision, uFACTS walks the adjudicator through the process of creating a determination.

1. **The adjudicator enters a decision and selects a Rationale for the decision.**
   Each Issue type and sub-type combination has a unique list of applicable rationales. These rationales are based on Florida law and policy that dictates how the particular issue must be adjudicated given the facts in evidence.
2. **The uFACTS Solution framework generates a determination template with pre-populated, standardized determination reasoning and findings.**
   Pre-population of determination text facilitates the generation of consistent determination text and makes training new adjudicators much easier. Depending on security privileges and the level of the issue being worked, adjudicators do have the ability to modify the pre-populated text to add additional reasoning, findings, and notes that will become part of the final determination.
3. **The adjudicator finalizes the determination text and can set the determination mailing preferences.**
   While the application defaults the list of interested parties who will be mailed the determination based on the issue type, the associated parties, and state-specific rules, the adjudicator can customize the recipients; for example, an adjudicator can suppress mailing for any or all interested parties.
4. **The adjudicator validates and submits the determination.**
   A confirmation screen verifies that the adjudication process is complete.

After an issue is resolved, the Adjudication process integrates with the overpayment, monetary (if the issue affects wages credits), and benefits charge processes. Overpayment information is printed directly on the claimant's non-monetary determination.

Adjudication Summary

Gain automated functions that can still be manually changed as needed:

The uFACTS Solution Framework automates issue management while still giving supervisors flexibility to assign targeted issues to specific Adjudicators when necessary.

The uFACTS Solution Framework integrates claims services through a comprehensive and logic-rich adjudications module. Our approach has been proven to significantly improve efficiency, provide higher levels of standardization, and focuses on solving issues quickly so claimants can be paid timely.

Using our reusable, proven artifacts in the uFACTS Solution Framework, we have integrated the process of issue detection through fact-finding and adjudication with all the traceability necessary to allow for quality decisions and the documentation to support the determination process.

By ensuring determinations follow a defined process with clear boundaries, the quality of the adjudication process increases while effort to reach, document and communicate a decision is reduced.

For our Minnesota UI modernization, uFACTS significantly improved adjudication service levels. Some of the service levels achieved include:

Performance Metric Service Level	Minnesota UI Modernization Service Level Achievement (Customized uFACTS Solution Framework)
[redacted]	[redacted]
[redacted]	[redacted]
[redacted]	[redacted]
[redacted]	[redacted]

[redacted]

5.1.2 uFACTS Affords Flexibility for AWI's Day-to-Day Operations

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uFACTS Administrative Services enables streamlined maintenance and modification by non-technical staff, adding flexibility to day-to-day operations. It provides UC agencies with the ability to respond to legislative or statute changes by using the business rules and sub-code system management features within the uFACTS Solution Framework. The framework's design assumes UC agencies will depend on business/operations staff to maintain many of a system's primary functions.

AWI can achieve the flexibility it requires for day-to-day operations through the following components provided by uFACTS:

- Business Rules Administration
- Sub-Code System Management

Exhibit 5-22 highlights the features and benefits of uFACTS Administrative Services.

uFACTS Administrative Services	
[redacted]	[redacted]
[redacted]	[redacted]
[redacted]	[redacted]

[redacted]

5.1.2.1 Business Rules Administration

The uFACTS Solution Framework leverages a business rules engine and table-driven parameters that are called by application program code and processes. We have proposed the use of Oracle's policy automation (OPA) business rules product for AWI. This rules-centric design provides high levels of speed and flexibility for implementing changes in program provisions or services, eligibility rules, reporting rules, and others. This approach reduces the amount of response time needed to implement changes in legislation or statute. Additionally, the separation of business rules into a separate rule repository promotes reuse by treating business logic as a manageable enterprise resource.

Our rules-based administration provides the following benefits to AWI:

- **Rules are visible.** Visible rules provide a shared language between business and IT that can help save time and rework by presenting rules in a language that makes sense to business users. As a result, business personnel have a better understanding of the system and the decisions it makes — an understanding that helps them to better serve their customers. Rule visibility also means that the IT department spends less time digging into code to answer questions for the business.
- **Rules are more easily changed.** The visibility of existing rules also eases the software change process. By knowing how the system currently behaves, you can more readily evaluate the impacts of proposed changes and make decisions on what changes are desired. Furthermore, the use of a rule language and rule repository makes it easier to specify the desired changes, locate the applicable rules, and perform the necessary modifications.
  The visibility of existing rules eases the software change process, making rules more easily changeable.
- **Rules are also reusable.** Appropriate reuse of software components is a must for modern system development practices. The separation of business rules into a separate rule repository supports this philosophy and promotes reuse by treating business logic as a manageable enterprise resource.

Gain simplified application maintenance within uFACTS:

The uFACTS Solution Framework includes over 400 code tables and 10,000 sub code tables to maintain uFACTS. For example, the WBA amount can be easily changed in the code tables.

5.1.2.2 Sub-Code System Management

The Sub-Code System Management component allows authorized users to create and maintain records in system code tables. This component uses code tables to build lists of valid entries used for validation and reference and for error messaging and perform system maintenance functions through an online user interface. These services also include user administration.

5.1.3 uFACTS Provides Simplified Claimant Access to UC Information and Services

AWI, your staff, claimants and employers can benefit from highly accessible UC information and services information provided by Deloitte's uFACTS Solution Framework.

5.1.3.1 Customers Communication Channels within the uFACTS Solution Framework

The uFACTS Solution Framework supports multiple communications channels. Depending on the channel, the level of security, and proper authentication, most self-services can be exposed by the Web, IVR and PDA. Other channels include paper-based communication, such as the mail or fax.

[redacted]

5.1.3.2 Claimant Self-Service Functionality

The Claimant Self-Service capabilities include:

- Apply for Benefits
- Calculate Future Benefits
- View and Maintain Account
- View and Respond to Messages and Fact-finding
- File Weekly Continued Claims
- Repay UC Benefit Overpayment
- Complete Self-Assessment and Work Search Plan
- Check the Status of Benefit Payments
- File an Appeal

The Claimant Self-Service subcomponent supports AWI's goal of providing enhanced services to claimants and creating innovative ways to reduce workload and data entry. It is critical that the Agency leverage technology to more efficiently manage the growing caseload, given its limited staffing levels. Providing claimants increased access to their claim information online improves customer service while significantly reducing the volume of requests to the call centers.

The uFACTS Solution Framework also supports integration with Integrated Voice Response (IVR) technology, which allows claimants to update and access information via IVR channels. AWI can pass along general benefits information to claimants through the IVR system.

Further, uFACTS tailors an intelligent Claimant Home Page to meet the individual needs of each claimant. The "Virtual UI Agent" or "Determine Correct Path" functionality provides claimants with messages related to outstanding fact-finding, re-employment activity, available weeks, and determination or appeals status. The messaging greatly improves the usability of the system and expedites the collection of accurate data. Determine Correct Path also dynamically determines which services are available to the claimant given the current state and status of the claim. For example, if the system has generated an overpayment for a claimant, then the service "Repay a UI Benefit Overpayment" appears on the Claimant Home page and left navigation bar.

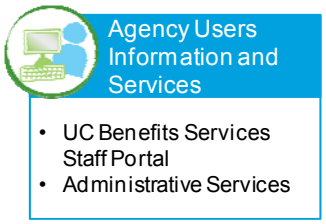
Besides a Web interface, which can be easily expended to a browser-based PDA, the most requested channel is IVR — which provides system end-users the ability to transact business via a telephony interface. The percentage of claimants who interact with the system via a telephony interface is usually very significant for UC Systems. This indicates the importance of having an effective IVR/call center approach for mission-critical transactions.

Exhibit 5-24 cites examples of our previous uFACTS implementations and their interactive functionality. The transactions (services) that have been typically exposed for IVR/call center usage include:

[redacted]

The uFACTS IVR functionality has a proven, consistent track record of improving upon legacy IVR functionality. The uFACTS Solution Framework possesses seamless integration with our online system for any transactions that require distribution to AWI call center staff, utilizing uFACTS screen pops that accelerate customer service. Our approach to IVR is to expose functionality requiring high-frequency interactions resulting in improved service based on the needs of claimants.

5.1.4 uFACTS Offers Intuitive and Secure System Interaction for Agency Users



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5.1.4.1 UC Benefits Services Staff Portal

The uFACTS Solution Framework contains four portals for managing UC activities: Employer Self-Service, Agent/Third Party Administrator Self-Service, Claimant Self-Service, and Staff. Each portal is managed with the same basic look-and-feel, same business flows, and an intuitive design. The re-use of a common graphical user interface reduces system maintenance, improves staff to constituent assistance and training, and provides for a consistent set of business processes. For purposes of this ITN, we propose the use of the Claimant Self-Service and Staff portals to meet the business and technical requirements outlined in Attachment Q.

Although each portal contains similar components, the uFACTS Staff Portal has several features designed specifically to improve UC staff efficiency. The uFACTS Solution framework provides both a left-navigation and 'splash-page' navigation option; providing flexibility for different system users. Additionally, uFACTS is designed in a manner that allows users to generally access a business process with no more than three "clicks". The following features facilitate improved system use for UC Staff:

- **Claimant Profile with Last 10 Events.** The Claimant Profile page is designed to provide UC staff with a quick claimant reference. Upon completing a search, or receiving an IVR call, the Claimant Profile screen is displayed. The screen contains the claimant's basic information (e.g., name, WBA, MBA, and program) and an event log view of the last 10 transactions completed on the claimant's account or claim. This quick reference allows UC staff to quickly answer phone queries, navigate the basics of a claim, and branch out to other areas of the system to conduct broader research.
- **Change Claimant.** The 'Change Claimant' function is designed to assist UC staff quickly navigate from one claim to the next. Staff will navigate to a claimant's account and open a 'case-file'; the 'case-file' allows staff to conduct business on that specific claim. The 'Change Claimant' function allows staff to avoid a return to their home page, and navigate direct to the claimant search page. This feature provides staff, especially those navigating multiple claims and issues, a method to quickly open, close, and search for the next claim.
- **Most Recent Items.** uFACTS provides UC staff the ability to return to recent claim files through a list linked to recently accessed claims. This configurable feature can show 5, 10, or 'n' number of recent claims, employers, or agent records. This feature is especially useful for staff researching claim fraud or charging as staff compares similar claims and/or employers.
- **Claimant View/Staff View.** uFACTS provides staff a compartmentalized view between staff functions and claimant self-service functions. This separation allows staff to view screens in the same manner as claimants and also access staff-only screens. Providing the self-service screen views help staff assist claimants on the phone when they have issues with the self-service functionality in their claimant portal.
- **Switch Workflow.** uFACTS tightly integrates workflow processing and system functions. The tight integration helps facilitate efficient work item management and distribution. When staff is reviewing work items within a work queue, they can select 'Switch Workflow' to access the claimant's account. 'Switch Workflow' changes the work queue navigation and displays the claimants file navigation. Staff can then

conduct detailed research within the claim and again 'Switch Workflow' to access the work queue item. The process eliminates re-logging into work queues, provides direct access to all the claimant's information, and fully ties work queues with the tools of the broader solution.

- **Workflow Queue Management and Push Workflow.** uFACTS provides a highly efficient workflow queue management and push workflow process. The workflow queue management allows UC supervisors to review queue workload levels, re-distribute work, and assign staff skill levels for proper distribution of work items (i.e., distribution of different issues types to different staff). The skill level management component, along with a push workflow process, has proven to increase benefit issue adjudication by over 100% in previous uFACTS implementations.
- **Attached Fact Finding, Correspondence, and Other Documents.** The uFACTS Solution Framework tightly integrates document management and claimant correspondence within the overall solution. These components are designed to attach sent and received documents to each claimant's file. The attached documentation, especially within issue adjudication, significantly reduces staff time searching for documents in order to adjudicate issues.

The UC staff portal will be utilized by AWI Benefits internal staff to provide employer and claimant services.

5.1.4.2 Administrative Services

The uFACTS Solution Framework's Administrative Services facilitate streamlined maintenance and modification by non-technical staff. It will provide AWI with a flexible security model, sound accounting infrastructure, and an intuitive system administration module. The framework's design will enable staff to easily maintain many of the system's primary functions.

The Administrative Services component includes an industry-approved accounting infrastructure and security features.

[redacted]

[redacted]	[redacted]
[redacted]	[redacted]
[redacted]	[redacted]

[redacted]

Gain simplified administration that translates into lower costs and less dependency on non-business resources:

uFACTS delivers streamlined, customizable Administration Services.

Industry-Approved Accounting Infrastructure

The Accounting Infrastructure component includes the necessary financial and experience ledgers and transactions to properly journalize and post all UC transactions according to currently accepted accounting standards. We developed it in accordance with Generally Accepted Accounting Principles (GAAP), the Government Accounting Standards Board (GASB), and the Financial Accounting Standards Board (FASB). Our accounting infrastructure incorporates our knowledge of reporting UC funds to the Federal UC Trust Fund and tracking varied programs and state-specific services. The Accounting Infrastructure has the flexibility to accommodate AWI's ledger requirements.

The Accounting Infrastructure maps the anticipated financial transactions to the various ledgers with which the transactions are associated. The accounting infrastructure follows a common three-step process:

- Generate a business transaction based on the business process
- Update the appropriate ledgers and accounts based on template transactions and rules
- Create journal entries related to a UC Account and Ledger Account Type

uFACTS provides account maintenance functionality that supports the ability to maintain:

- Account reference data
- Template transactions
- Accounting periods
- Uncollectible amounts and write-offs
- Different types of payments and balances for accounts

uFACTS also provides an accounting infrastructure that supports periodic, electronic interface to third-party General Ledger packages. The uFACTS Solution Framework allows users to globally review payments, aiding in accounting reconciliation.

The Reconcile Deposit functionality is designed to support easy accounting reconciliation of payments based on multiple user-friendly criteria.

If a more detailed view of a particular deposit is desired, the uFACTS Solution Framework provides a deposit detail view that breaks down deposits to the individual payment level. The uFACTS Solution Framework allows for staff to drill down to the details of the payments recorded as part of a deposit.

The uFACTS Solution Framework also provides various reporting capabilities that break down the detail of all deposit transactions at the Account/Sub-Account level. This payment detail can be used to reconcile with the bank deposit report to document accurate reporting of monies received.

The uFACTS Solution Framework also provides an Adjustment report that illustrates all adjustments made to repayments received for the date range entered. The report will capture Manual and System generated adjustments and displays the information based on the date range entered.

Security

Rest assured that AWI's sensitive information will be secure. Deloitte securely designs and implements the confidential nature of UC information. We allocate a significant amount of time and resources to developing the Security Plan and Application functionality. System security for our proposed solution will specifically incorporate AWI and State security policy requirements.

In collaboration with AWI, we will prepare a Security Model that identifies how security features are implemented. The Security Model includes:

- Proposed levels of security
- Limitations of capabilities
- Required protocols
- Security data format and content
- Recommended starting point for establishing security profiles

Deloitte has proven experience designing security architectures and can bring those experiences to bear, along with State and UC standards, when you need to make decisions such as security architecture and what infrastructure a particular user group can view or update.

The uFACTS Solution Framework key security features include:

- **User Administration.** The Security component allows authorized staff to create and maintain records in system-code tables. This component uses code tables to build lists of valid entries used for validation, reference, and for error messaging and perform system maintenance functions through an online user interface.
- **User Authentication.** The uFACTS Solution Framework authenticates users by user ID and password. The application maintains the user ID and password, and only those who have a valid user ID and provide a valid password can access the application. The application stores passwords in encrypted format within an LDAP database and the security administration pages within the application do not allow the display or printing of passwords.
- **Predefined Roles for Users.** We assign all users in the application to one or more predefined roles. Each role has one of the following privileges: read, insert, update, or delete. Depending upon the role(s) a user has, he has a specific level of privilege for each screen.
- **Roles with Functions.** We design the solution to associate each role with specific business functions and responsibilities.
- **Administration Tools.** We manage the mappings of roles to business functions, as well as the creation of users and their assignment to roles, through a custom GUI-based security administration tool.

The uFACTS Solution Framework provides sound management of confidential data and processes. This includes restricting access, tracking operating system-level access, and managing threats.

Restricting Access

We restrict access to the server components that comprise the application infrastructure with Windows Operating System-level security, using policies that adhere to your standards and protect the system and its data from unauthorized modifications. We give administrative rights on servers to a select group of server administrators only. We can give users who are administering the application itself (for example, reviewing application logs or deploying new releases of application code) security rights that provide access only to the resources they need to perform these tasks. We can add additional monitoring tools (such as Tripwire's change auditing software) to the environment to detect changes to configuration files if you want further measures to detect system tampering.

Tracking Operating System-Level Access

Tracking operating system–level accessing of the system using windows security logs. AWI can search these logs for indications of suspicious activity. The user must have administrative rights to access these security logs, providing a strong barrier to any attempts to alter the logs to hide malicious activities. In addition, a robust transaction

logging feature tracks activities that take place within the application and stores detailed activity records (with indicators of success/failure) in database tables, which you can query to detect suspicious behavior. Users cannot modify transaction-logging data from within the application, which protects it from alteration with database-level security.

Managing Threats

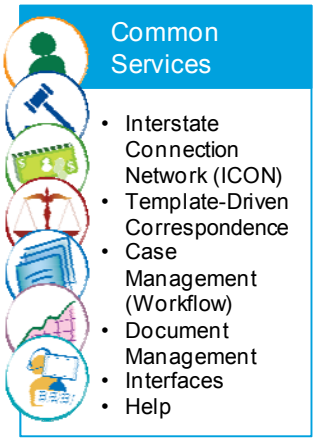
The threat of Denial of Service (DoS) and similar attacks require constant vigilance —for example, keeping up with operating system patches that address such vulnerabilities. That having been said, we designed the uFACTS Solution Framework to be resilient to such threats. By placing web servers in a DMZ, and all application servers and databases inside an internal firewall, we force malicious individuals to compromise multiple systems to gain access to system data. We install the uFACTS Solution Framework on hardened servers that open no unnecessary network services and refuse unauthorized programs. Furthermore, we can configure the application hosts (as well as environment firewalls) to deny invalid source (spoofed) IP addresses, thus halting both incoming and outgoing sources of DoS packets.

Administrative Services Summary

The uFACTS Administrative Services component addresses the operational aspects of running a UC agency and consists of pre-designed and developed functions that are part of our core software architecture. The components of Administrative Services incorporate basic system maintenance processes that non-technical administrators can perform, allowing for an easily maintained and modified system.

Trust Fund accounting and security are both key components to a successful UC modernization effort. By using our uFACTS functionality to provide you these services, you can feel comfortable in knowing that our solutions have been implemented in some of the most progressive and operationally sound UC agencies to date.

5.1.5 uFACTS Facilitates User Interaction, Collaboration, and Communication



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5.1.5.1 Collaboration Features within the uFACTS Solution Framework

The uFACTS Solution Framework Common Services provides critical functionality encompassing all business processes and task areas requested in the ITN. Our common application services module leverage package-based or custom-developed software and seamlessly incorporates it into your overall solution.

The Common Services module includes the following components:

- Interstate Connection Network (ICON)
- Template-Driven correspondence
- Case Management (Workflow)
- Document Management
- Interfaces
- Help

Exhibit 5-26 highlights the features and benefits of the uFACTS Solution Framework Common Services.

[redacted]

The components of the Common Services module are described in greater detail in the following sections.

Interstate Connection Network (ICON)

The ICON component allows UC agencies to submit and retrieve requests and responses from other UC Agencies through ICON, which serves as a clearing house for information requests designed to track claims activity in other States. Our experience in UC agencies provides us with the understanding of the complex interfaces; this includes system validations and data requirements. The uFACTS Solution Framework provides the functionality and interface logic to manage the following functions: IB4, IB5, IB6, and IB13.

The ICON IB6 process receives benefit charges from other states and displays this information to staff. Staff will then be able to validate, view the status, and authorize the payment of those charges. The workflow integration portion of this process provides staff with the ability to track the payment of the charges real-time online with the ICON IB6 Workflow functionality.

Template-Driven Correspondence

The Correspondence component handles the primary interactions between a UC Agency and claimants. Correspondence to external parties typically includes notifications to and from employers, claimants, and employer agents. This component allows developers to quickly create, store, and maintain templates for correspondence. It integrates the power of desktop word-processing and spreadsheet capabilities to give users maximum flexibility. The uFACTS Solution Framework provides the primary logic to trigger and generate necessary UC correspondence, including the creation of ad hoc correspondence.

Each piece of correspondence is stored in our document management system for historical review. Additionally, the correspondence functions provide the necessary “triggers” to initiate, update, and/or create and send new correspondence. Ad-hoc correspondence functionality allows for the creation of unique documents. This allows developers to create, store, and maintain templates for correspondence quickly. The

uFACTS Solution Framework Correspondence integrates the power of desktop word processing and spreadsheet capabilities to give users maximum flexibility.

A standard production method includes the ability to:

- Bar code all outgoing mail — tying it to employer or claimant accounts
- Image each document automatically
- Print en masse
- Scan and index returned documents
- Scan and index new customer correspondence (e.g., handwritten appeals)

This allows users to view correspondence that is associated with a particular claimant, claim, or employer.

Administrators can create correspondence and notice templates for storage in the document management system. Users can maintain these templates through administration screens included in the application.

Case Management (Workflow)

Our Case Management functionality has the flexibility and scalability AWI needs to handle the most complex business processes involving millions of transactions, thousands of users, and multiple business applications.

The uFACTS Solution Framework Case Management component controls the flow of work throughout organizations by streamlining, automating, and optimizing business processes. The Case Management component shortens process lifecycles and automatically manages process exceptions so users can react immediately to internal events or customer demands. While powerful, it is also easy to use, administer, and deploy. Users can capture proven practices and business logic and reuse the information, shortening implementation time and increasing your speed-to-market so users can seize new business opportunities.

The Case Management or Workflow component also monitors and tracks business processes so analysts and managers can see how their operations are performing, thereby gaining valuable insight into work metrics. Case Management reports allow frontline managers to see how many claims they must process at any given time, where each claim is in the process, and which claims are held up. This, in turn, helps users simulate and optimize key processes and assess the value of internal resources. By integrating content with business processes, all levels of your organization can make timely decisions based on the most accurate information available. This enables UC Agencies to monitor progress toward their goal of increasing worker efficiency and documenting the results of this process.

Our Case Management component, which uses FileNet products, includes predefined events and action diagrams of common unemployment processes that can accelerate the deployment of both packaged-based and custom workflow solutions.

Claimants and employers will have inboxes provided through the Self-Service functionality of the uFACTS Solution Framework. This will enable them to become part of the workflow process. Individual worker queues are integrated into the overall UC benefits process.

When within workflow, users can access the “switch workflow” function by selecting the hyperlink. This function prevents staff from logging in and out of a workflow/document-management system to their benefits/revenue system, saving time and providing accuracy in data and process management.

The FileNet Process Designer allows administrators to:

- Graphically design workflows
- Assign participants to workflow nodes
- Define deadlines
- Add data parameters to the workflow item
- Establish dynamic routing rules based on Florida-specific business rules

Document Management

Document Management will be tailored to deliver AWI's desired functionality. The Document Management Integration component provides transparent integration of required documents into the application. This component links to documents or other content to a particular business object (e.g., benefit claim). Even in this age of electronic communication, many employers and claimants still continue to send in paper correspondence; therefore, the uFACTS Solution Framework allows AWI to connect these documents to the appropriate account or claim and maintain an electronic business process within UC. For example, the system attaches imaged versions of fact-finding documents to a specific claimant's issue.

Interfaces

The Interfaces component allows for integration and fosters interaction, collaborating, and communicating across all users to achieve the goals and objectives of the UC program. When implemented as part of your application, the Interfaces component includes real-time or daily batch processing between the automated system and other existing systems. Interfaces from and to a UC System may include, but are not limited to, the following:

- SUNTAX UC Tax Implementation
- Interstate Connection Network (ICON)
- Computer Telephony Integration (CTI)
- Interactive Voice Response (IVR)
- US Department of Labor Federal Reporting SunSPAC
- Profiling
- External Appeals
- Liable Agent Data Transfer (LADT)
- Workforce Agency
- External financial system
- Benefit payment and tax withholding interfaces with the State Revenue Department and the IRS
- Child support
- New hire
- External collections (for un-collectable overpayments)
- Railroad Retirement Board
- Social Security Administration
- Department of Corrections for incarcerations
- Felon Locator System
- The University System

The process considers interface to be an exchange of data and does not include correspondence or reports generated by other subsystems in the system-generated tables.

Help Features allow users to more effectively use the system

The Help component provides functionality (field level help, electronic manuals, and navigation help) that is only "one click away" for all individuals using the system. Help also provides intuitive guides that describe how to use the application.

The uFACTS Solution Framework provides assistive content (help) windows throughout all components of the system. Claimants access an assistive content window by clicking on a hyperlink within specified processes. These windows provide the claimant real-time targeted assistance when navigating through the system.

[redacted]

Reporting Services

- Fiscal Reporting
- Management and Administrative Reports
- Statistical Reports
- Ad Hoc Reports and Inquiries

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Make informed decisions

Our Reporting functionality provides executive management with the information required to make key strategic and tactical decisions on various business fronts.

Reporting Services

The Reporting Services Module allows agencies to manage their financial accounting, generate statistical reports, and administer varied management and ad hoc reports for departmental use or submission to other agencies. The uFACTS Solution Framework provides the necessary templates, documentation, and interface capabilities to effectively manage AWI's UC program performance and reporting.

Our approach will provide AWI the standard information necessary to administer its UC program. We understand that each state has different requirements for reporting – many based on legacy system processes and data structures. We will work with AWI to analyze and identify your true reporting needs based on new business processes, data structures, and available staff screens. In our experience, we have found that states can significantly reduce their volume of 'daily print' reports and utilize a wider variety of real-time online screens, standardized reports, or ad hoc (online) queries within the uFACTS Solution framework. The following exhibit highlights the features and benefits of the uFACTS Solution Framework Reporting Services.

[redacted]

[redacted]

Fiscal Reporting

The Fiscal Reporting sub-module collects information from all aspects of a new system. The integrated Benefits functionality will feed detailed reports such as the Benefits Payment Register Report, Unemployment Compensation Voided and Cancelled Payments Report, and OP Digest Report. These as well as many others are all provided within the uFACTS Knowledge Repository as reporting templates – these templates expedite design and development of AWI reports.

[redacted]

The Federal Reporting component will reduce AWI's risk when designing, testing, and deploying these reports. Although the report specifications are standard, correctly interpreting data, validating and checking for errors and proper report (performance) tuning provide AWI tremendous value. Beyond the standard reports, the uFACTS Solution Framework also contains features to manage correspondence for Charge Statements to both Federal (i.e., House of Representatives or Department of Homeland Security) and Military (i.e., Department of the Army or Navy) reporting units.

The uFACTS Solution Framework also provides various reporting capabilities that break down the detail of all deposit transactions at the Account/Sub-Account level.

Management and Administrative Reports

The Management and Administrative Reports component improves the timeliness and accuracy of reporting and information sharing within AWI at the management and executive levels by implementing a comprehensive static, dynamic, and ad-hoc reporting capability. Management reports are provided online for staff to view.

This component allows staff to do the following:

- Define and add management reports easily
- Organize reports in folders

The Management and Administrative Reports component provides management reports required to administer AWI's UC programs by leveraging third-party reporting tools.

The uFACTS Solution Framework contains multiple templates for UC Benefits management reports. In addition, each state has a select set of reports needed to manage and improve day-to-day operations. The uFACTS Solution Framework provides a set of administrative and tracking report templates designed to assist AWI monitor and improve your business. Our First Payment Timeliness Report, for example, identifies claimants who will miss first payment timeliness if not paid within "x" number of days as defined by staff. The resulting information can aid AWI resolve issues quickly and make first payments timely.

The uFACTS Management and Administrative Reports component can be extended to provide even richer information.

Statistical Reports

The uFACTS Solution Framework reporting functions address AWI's operational needs and promotes efficiency by incorporating core business solutions.

The Statistical Reports component creates statistical reports for use by the state. It also generates and publishes data for state-specific constituents on department websites.

The uFACTS Solution Framework includes the following statistical reports:

- **Mass Layoff Statistics (MLS).** The MLS report is produced monthly and quarterly for the mass layoff actions that result in workers being separated from their jobs. The monthly and quarterly reports differ in the following ways:
  - The monthly mass layoff numbers come from establishments which have at least 50 initial claims for UC filed against them during a five-week period
  - The quarterly extended mass layoff numbers come from a subset of such establishments where private sector non-farm employers indicate that 50 or more workers were separated from their jobs for at least 31 days
- **Local Area Unemployment Statistics (LAUS).** The LAUS program provides monthly and annual employment, unemployment, and labor force data by place of residence for the census regions, divisions, counties, metropolitan areas, cities, and the state.

Save valuable report design time

The uFACTS Solution Framework integrated relational database allows staff to create Ad Hoc Reports to respond quickly to economic inquiries.

Ad Hoc Reports and Inquiries

The Ad Hoc Reports and Inquiries component supports developing and generating Ad Hoc Reports and data queries through an integrated, relational database and incorporation with third-party products for report generation.

In combination with the Management Reports component, this functionality provides AWI users with the following capabilities:

- Interactively exploring reports
- Designing ad hoc reports easily
- Organizing reports in folders
- Creating reports that aid in decision making
- Adding reports for future reference and use

Reporting Services Summary

Reporting Services is a key component of any state UC program. Demands from the federal, state, and other agencies for information and policy decisions are critical to the services provided by you. Our fiscal and federal reports conform to the requirements and mandates from the US DOL, as well as adhere to accepted GAAP principles for managing your trust fund. A robust and extensible reporting engine provides agencies the ability to respond to requests for information to support the policy and legislative research necessities of your claimants.

Common Services Summary

uFACTS Common Services enables submittal and retrieval of request and replies from other state workforce agencies, imaging of tax and benefits documents and correspondence, integrated processing of workflow tasks, assistive help content and real-time or batch processing between the UC system and other systems. These features allow AWI to improve collaboration with all UC stakeholders, including claimants and employers.

5.2 System Development

5.2.1 Proposed System Development Lifecycle Methodology

Deloitte's system development lifecycle methodology provides project stakeholders with a tried and tested approach for managing AWI Unemployment Compensation Claims and Benefits Information System Project system engineering activities during the life of the project.

Most System Integrators provide a system development lifecycle methodology, but few (if any) provide a methodology with a track record of UC modernization success like ours. Our Playbook methodology, integrated with our uFACTS Solution Framework, applied by our experienced UC modernization team is a (repeatable) formula for success.

Our methodology establishes a repeatable, predictable process for construction of a high-quality system. An effective development methodology mitigates risk by avoiding the root causes of system development failure often encountered within the industry.

With Deloitte's UC modernization experience, you benefit from a methodology with the following features:

- Processes, methods, techniques, and standards that have been consistently applied across multiple, similar UC modernization projects in other states
- Collaboration to finalize requirements with designated AWI users, system architects, and SMEs, and ongoing collaboration with users throughout development, as appropriate
- Clear, concise, and essential documentation of the new UCCBIS solution
- Built-in quality control and measurement
- Early delivery of high-payoff Unemployment Compensation Claims and Benefits Information System (UCCBIS) functionality to the user and customer community with emphasis on mission critical functionality first, very important functionality next, and so forth
- Incremental delivery of the UCCBIS
- Project work load balance to accommodate AWI project staff resources
- Minimization of parallelism and bridging among the new UCCBIS and legacy systems
- Avoidance of, or minimal, throwaway effort
- A viable and tested architecture early in development

Deloitte's methodology has demonstrated UC modernization results in several states, including:

- Minnesota
- Massachusetts
- New Hampshire
- New Mexico
- Ohio
- Montana
- Kentucky

Did you know

Deloitte is proud to have earned IBM's Rational MVP award for depth and breadth of integration of RUP and Rational tools into our methodology and to bring this experience to AWI.

We describe the alignment of our method with your goals throughout this section of our proposal.

We derive our UCCBIS System Engineering Process (SEP) by tailoring our System Development Playbook methodology and by leveraging our Unemployment Framework for Automated Claim and Tax Services (uFACTS) Solution Framework.

Our Playbook is consistent with industry standards, such as IEEE Std. 1220-1998 Standard for Application and Management of the Systems Engineering Process.

Our Playbook lifecycle development methodology provides a service oriented architecture (SOA)-based and web-enabled system development methodology and is designed for distinct phases of development. We organize development into a number of separate iterations that must satisfy defined criteria before we move on to the next phase. This approach helps manage risk.

- **Define Phase:** Describes the requirements gathering and project planning processes. The activities in this phase align with *ITN Section D, Exhibit 1, 6.3 Requirements Validation.*
- **Design Phase:** Includes the high level and detailed design processes. The High Level Design provides a conceptual view of the application, while the Detailed Design serves as the blueprint for development. The activities in this phase align with *ITN Section D, Exhibit 1, 6.4 Function Design* and *6.5 Technical Design*.
- **Develop Phase:** Includes coding and unit testing processes. The activities in this phase align with *ITN Section D, Exhibit 1, 6.6 Code and Unit Test*.
- **Test Phase:** Includes the processes for test planning and executing the various types of testing on a project, including string, converted data, system, integration, performance, operational, user-acceptance, and deployment testing. The activities in this phase align with *ITN Section D, Exhibit 1, 6.7 System Integration Test and 6.8 User Acceptance Test*.
- **Deploy Phase:** The Deploy phase includes the process used for transitioning the built and tested software into a production environment. The activities in this phase align with *ITN Section D, Exhibit 1, 6.9 Training, 6.10 Production Pilot*, and *6.11 Implementation*.
- **Warranty, Maintenance, and Operations:** Post-implementation resources address defects, maintenance and operations during the twelve-month support period. A description of these activities is included in *Section 5.4 – Warranty, Maintenance, and Operations*.

The uFACTS Advantage Distinguishes Deloitte's Development Process Methodology

We have tailored our Playbook methodology to incorporate Deloitte's uFACTS Solution Framework and associated knowledge repository. Based on more than 10 years of industry knowledge, design principles, and industry-leading practices, the uFACTS Solution Framework is not a transfer solution from another state. Instead, uFACTS is a logical architecture we developed over time for state UC agencies. uFACTS is composed of software products selected specifically for your business model. uFACTS includes design artifacts, tools, template-based code, and a complete set of components for quick implementation, integration, and support for managing ever-changing business rules.

From Project Initiation through Requirements Definition, System Testing, and, ultimately, User Acceptance, our project artifacts included in the uFACTS Knowledge Repository serve as a template or starting point for many tasks/activities.

Throughout our Development Process Methodology, we demonstrate how we integrate Deloitte's Playbook methodology with our extensive uFACTS Knowledge Repository. This integration helps us optimize the use of AWI resources throughout the project and results in the timely delivery of quality deliverables.

We tailor our Playbook methodology – already established and successful in Massachusetts, Minnesota, New Hampshire, New Mexico, Ohio, and Kentucky – specifically for implementing a framework solution, and it is ready to go for the AWI UC Benefits System Modernization Project.

Integration of Deloitte's Playbook Methodology with the uFACTS Solution Framework

The uFACTS Solution Framework Overview

The uFACTS Solution Framework saves you time, reduces risk, and improves quality. From Initiate Project through Requirements Definition (Define Phase), System Testing, and ultimately User Acceptance and implementation, our project artifacts included in the uFACTS Knowledge Repository serve as a template or starting point for many tasks/activities.

Deloitte has more recent UC Claims and Benefits modernization implementations projects in more states than others in the industry and as a result our knowledge repository provides AWI more reusable artifacts and lessons learned data than any other framework available

The uFACTS Solution Framework

The uFACTS Solution Framework is a comprehensive UC-specific solution that offers a full range of functionality addressing tax and benefits functionality, as well as the core common services necessary in a modern, web-based system architecture.

uFACTS Technical Framework

The uFACTS Technical Framework is the SOA-based technology architecture and infrastructure that supports the solution framework and related technical requirements. The technical framework includes a development environment that facilitates delivery of quality, consistent code on a timely basis. In addition, the technical framework includes features such as automatic code generation capabilities – this feature alone allows us to automatically generate up to 30% of the code required to customize uFACTS to meet AWI's requirements.

uFACTS Knowledge Repository

The project artifacts contained within uFACTS, known as the uFACTS Knowledge Repository, serve as a library of reusable project assets, industry-leading practices, and templates to expedite project, design, development, and implementation. The uFACTS

Knowledge Repository represents our lessons learned and industry-leading practices gained during our successful implementation of UC solutions for several states, including Minnesota, Massachusetts, New Hampshire, New Mexico, Ohio, Montana, and Kentucky.

"The uFACTS solution was very helpful for us in Minnesota as a baseline for design. It helped jumpstart the design process by giving my staff something visual to work with and modify rather than starting with a blank page. This allowed us to accelerate the design process, saving both schedule time and staff time."

Deneen Andrades
Minnesota UI Project Business Manager

These assets allow us to expedite the development of the UCCBIS Project solution. We created design artifacts using the Rational suite of tools and based them on the RUP system development methodology. These artifacts include the following:

- Project management artifacts that allow us to manage the delivery of a quality project, mitigate risk, and report status.
- A RequitePro repository of functional requirements for UC Tax, Benefits, Program Integrity, Appeals, and Economic Research.
- Use case activity diagrams for integrated Tax and Benefits systems, and supplemental specification documents related to workflow, correspondence, reports, and industry-specific constituent communication (e.g., file downloads, focus groups, and executive briefings).
- Use case specifications for both UC Tax and Benefits business processes. These use case specifications include design models, process flows, business rules, activity diagrams, validation and edit checking logic, workflow diagrams, and sample screen designs.
- A technical framework that expedites the development of the overall solution and allows us to deliver a higher quality solution and provide greater consistency in the development of the solution.
- Training artifacts that allow us to customize a training program to meet your needs. This includes CBT training materials and training documentation.
- Technical infrastructure artifacts that allow us to document the overall technical infrastructure and implement an infrastructure to meet your needs.

Get an Established Solution with uFACTS

The uFACTS Knowledge Repository speeds up your project with its reusable project artifacts that represent our lessons learned and best practices gained during our past UC modernization experience.

We use these artifacts throughout our UC engagements to augment existing client documentation, such as unique client business rules and client-based artifacts. In the case of the UCCBIS Project, you have prepared extensive documentation, including use case specifications and business/technical requirements. The combination of these artifacts and tools provides our clients the opportunity to build a complete and comprehensive UC System at the lowest level of risk, while meeting your specific business needs.

The following exhibit provides a summary of the *uFACTS Knowledge Repository* assets by each phase of our Deloitte Playbook Methodology. We describe these artifacts further in each phase of our methodology.

"Even though uFACTS provides a baseline line UI system, it has provided the flexibility to create a customized UI system that will meet the standard and unique needs of Massachusetts. The uFACTS solution framework in conjunction with Deloitte staff expertise and professionalism has allowed our subject matter experts to embrace the potential and efficiency of our forthcoming UI system".

Theresa DeMarco
DUA QUEST
UI Revenue Team Lead
Commonwealth of Massachusetts
Department of Workforce Development

[redacted]

We use the uFACTS Solution Framework, along with the particular AWI artifacts (e.g., use cases, data models, business rules, and statute), to build a completely custom UC system for you. Our well-established approach has reduced time to implement UC solutions in other states, provided detailed design artifacts to meet all requirements, traced and resolved complex client issues (e.g. multi-claimant issue adjudication), and helped our clients to visualize a future system based on their overall UC modernization objectives.

The following diagram depicts how Deloitte utilizes our uFACTS Solution Framework as inputs into the design, development, and implementation process, resulting in a custom solution for AWI's UC Claims and Benefits Information System Project.

[redacted]

Ease Implementation with Our Standard Methodology's Common Structure
AWI can avoid pitfalls often encountered in large system implementation by depending on the Deloitte's System Development Playbook methodology – a methodology that shares common phases and a step-wise, iterative approach with an integrated set of processes and supporting assets for building and delivering high-quality software solutions using distributed application development teams. We developed the Playbook using knowledge and practices from our collective experiences with a focus on building sustainable and predictable project delivery for complex software solutions. Based on the Software Engineering Institute's (SEI) Capability Maturity Model Integration (CMMI) and Project Management Body of Knowledge (PMBOK), Playbook supports all activities that we execute during the project lifecycle – from project initiation and planning to deployment of the final product and project closure. The Playbook is compliant to CMMI Level 3 process maturity expectations.

Deloitte's Playbook Guiding Principles:

- Adaptability
- Iterative Development
- Manage Software Requirements
- Visual Modeling
- Continuous Software Quality Management
- Component-based Architecture
- Effective Tools
- Controlled Changes to Software

[redacted]

5.2.1.1 Requirements Validation Approach and Methodology

Deloitte's proposed requirements validation approach and methodology complies with the requirements outlined in *ITN Section D, Exhibit 1, 8.2 Requirements Validation*.

Deloitte's Project Approach and Project Schedule (*Tab 4 – Project Approach and Methodology*) include the Contractor Requirements Validation Responsibilities and assume Agency (AWI) Requirements Validation Responsibilities (*ITN, Section D, Exhibit 1, 8.2.1* and *8.2.2*)

Define Phase Focuses on Requirements

AWI needs a high-level, business view of the new system to understand what it can do. We designed the Define phase to bring the system alive for you at project inception to begin building the necessary foundation for design and development.

The Deloitte Team develops business and technical requirements with you and performs focus groups and executive interviews during the Define phase that result in recommendations for your new system. At phase completion, the analysis and recommendations prepare us for the Design phase.

Define Phase Reveals What the System Does

The Define phase gives us the opportunity to define and augment existing business requirements in joint review sessions, and the uFACTS Solution Framework team leverages tools suited to manage your requirements.

Our requirements tools integrate with your tools, such as MS Word and Excel, for easy transfer of knowledge.

To demonstrate what the system does, we develop a number of key deliverables during the Define phase. For instance, we must perform a thorough validation of the requirements submitted with the ITN, as well as work with you to identify important detailed requirements. Therefore, our assessment documentation and recommendations provide the basis for describing what your system does and lay the groundwork for moving forward and defining how the system works in the next phase.

A successful Deloitte Playbook Define phase leads to the following approved deliverables, which are the phase "exit criteria" we must meet before moving into the Design phase:

- A Business Process Reengineering (BPR) Assessment
- Technical recommendations resulting from process analysis
- Process recommendations for the new system
- A finalized set of business and technical requirements (requirements traceability matrix)

The following pages establish how and why our requirements process works. We describe the role of the as-is and to-be process models, how we integrate business process reengineering with the Define phase, and how our tools and techniques help accomplish our goals. First, it is important to emphasize how we approach requirements and AWI's key role in the process of defining scope.

Navigate the Define Phase with the uFACTS Knowledge Repository

The following table provides a more detailed description of the *uFACTS Knowledge Repository* assets used during the Define Phase.

[redacted]

Collaborating for a Reliable Implementation

Our Approach: Collaborative and Results Oriented.

We define, validate and finalize requirements collaboratively with you.

Our team focuses on achieving concurrence among stakeholders on project objectives during the Define phase. As with all software development projects, we validate requirements and technical architecture, and review existing use cases within the uFACTS Solution Framework at the onset of the project. We must determine where use cases need modification or augmentation, and where we need to create use cases to finalize project scope.

The tools and techniques used in the Define phase that enable us to map to your ITN and system requirements and tasks include:

- Joint Requirements Management (JRM) sessions
- Use cases and Activity Diagrams

Deloitte's Playbook Guiding Principles – Adaptability:

Our Playbook supports a partnership with each of our customers throughout the project lifecycle. Complex engagements like that of UCCBIS demand a flexible and adaptable set of standards and methods for working together so we can 'hit the ground running' and deliver on time.

Committed to Client Success

"Deloitte has provided an organized, methodical process for developing system requirements. Their staff has guided us through the requirements gathering (JRM sessions) and business process redesign (BPR) phases of our project.

They did this by using uFACTS artifacts as a basis for many discussions and by ably facilitating countless sessions with Subject Matter Experts. I look forward to the detail design phase of the project. I'm sure that Deloitte staff will continue to work with us as a team as we move forward"

Jane Welch
DUA QUEST
UI Benefits Team Lead Leader
Commonwealth of Massachusetts
Department of Workforce Development

Along with reusable artifacts and our tools, we look to you for input early and often in the project.

AWI users and stakeholders help drive the requirements review and validation processes throughout the Define phase, and are particularly instrumental in our JRM sessions. We design JRM sessions to facilitate collaboration on requirements to finalize the functional requirements for your new system, and they revolve around you. This gives us the opportunity to discuss, validate, augment, modify, or eliminate requirements with you, as necessary. We focus on achieving consensus across teams and determining the full scope of the project.

Our Methodology Eases the Requirements Development Process

To speed the requirements analysis process, we first transfer, or migrate, existing AWI requirements into the Rational RequisitePro requirements management tool.

We use the uFACTS Solution Framework to collect, create, document, and update your requirements, and leverage our Playbook for its analysis and design methodology. By integrating AWI requirements with those in the uFACTS Solution Framework Knowledge Repository, we establish a thorough list of requirements that includes UC Claims and Benefits modernization practices.

Our tools further ease the requirements process. Once we populate the requirements tool, we begin our requirements review sessions.

We derive leading practices for reviewing requirements with you from experience with similar UC Benefits engagements. Rational RequisitePro allows us to augment existing requirements and demonstrate new ideas and a vision for your new system quickly and efficiently.

Therefore, we use, evaluate, and refine the uFACTS requirements artifacts from past successes to meet AWI specific needs. We combine modified uFACTS requirements artifacts with your existing project documentation to form the requirements baseline for your new system.

With your requirements in place, we are able to describe *what* your new system does for you – *how* it works comes later.

Our Fit/Gap Analysis Helps AWI Achieve Business Process Transformation

Fit/Gap analysis will steer the organization to find the necessary intersection of business requirements, standardized processes, technology architecture, and individual AWI business and technical requirements. Decisions made for gap resolutions will continue to drive the detailed design for configuration, business process work steps, and functional and technical specifications.

Fit/Gap builds on the identified business and functional requirements to identify discrepancies between those requirements and the delivered "as-is" uFACTS Solution Framework. Once we confirm the requirements for a process, we start fit/gap analysis with an initial pass through of the requirements to create a preliminary assessment of fits and gaps with respect to the delivered uFACTS business processes.

After the initial assessment, the process teams identify the processes that can be developed as fits and work to assess if there are conflicts between two different configured implementations. The teams then move through the gaps identified to generate

potential solutions. Before defining the gap resolution options, the team will measure gaps related to actual business requirements, determine that they are within the project scope, and assess how critical the business requirement is to support defined business objectives.

While defining the options for gap resolution, the teams will explore the possibility of modifying the business process design to close the gap (business process change), adding to the standard software functionality by modifying the software application (application extension development), or using an existing system to support the requirement (legacy system) to provide the functionality not included in the "as-is" uFACTS Solution Framework.

The teams develop documentation to describe the alternatives, the pros and cons associated with each, and the potential impacts that each would have for the State. The Deloitte Team will use the uFACTS Solution Framework to prototype potential alternatives in appropriate cases to help AWI better understand how the system could work. We then review the alternatives with AWI project leadership. The level to which we escalate a gap resolution will depend on the nature of the gap and the magnitude of the proposed resolution. For example, software customization would necessitate escalation to the appropriate governance levels, while a gap resolution that we can resolve by modifying the business process in a way agreeable to the business process owner would not need full escalation.

To complete the fit/gap process, processes must function as designed (less custom development), stakeholders must accept the processes, and the gaps must not violate any of the program assumptions.

The flexibility of uFACTS will, in many cases, allow for configuration to a level that will suit the business and technical requirements of AWI.

Requirements Traceability – from Define to Deploy

A key attribute of our technique of managing requirements is to make them traceable throughout the systems development lifecycle.

We link requirements to artifacts produced during other analysis, design, implementation, and test activities. As part of our Deloitte Playbook methodology, we trace requirements to use case design to audit that all requirements are incorporated into the design. We then trace design to test scripts, created in the Develop phase and executed in the Deploy phase, to confirm that the UC Claims and Benefits System Modernization design is realized via development and test activities. We include traceability matrices in appropriate deliverables so that project stakeholders may confirm that we implement their requirements from analysis to delivery. *Exhibit 5-35 – Sample uFACTS Requirements Matrix*, includes an example of how we trace requirements to processes.

We expect requirements to evolve throughout development. As the system tests ensue, we begin tweaking the system, as necessary, to meet your requirements. We refer back to the original requirement and modify the system or requirement with you, as necessary, based on additional information identified.

Did you know

RequisitePro more than automates migration and speeds our work – it also enhances collaboration among our teams. We leverage it for the same requirements and detail gathered throughout the life of the project.

To verify that we have designed all requirements, we evaluate specific functions and trace them back to initial requirements.

Traceability enables us to protect your requirements while also allowing us to make modifications to the system, as needed, throughout Design and Test.

[redacted]

Deloitte's Playbook Guiding Principles – Manage Software Requirements

Our collaborative approach to gathering, defining, documenting, and updating requirements assists us in developing a system that meets your needs while expertly managing the scope of the project.

Templates for Managing Requirements

Templates for managing requirements drive significant time savings throughout the Define and Development phases of the project. Templates also provide consistency in how we define requirements, and make clear the information needed for measuring, reporting, and changing requirements throughout the development lifecycle.

5.2.1.2 Reports Development Approach and Methodology

Deloitte's proposed Reports Development Approach and Methodology complies with the requirements outlined in *ITN Section D, Exhibit 1, 8.3 Reports Development.*

Deloitte will develop the reports as identified in the Requirements Definition Document. Each report will be described in detail, specifying purpose, format, content, and frequency.

The uFACTS Solution Framework integrated relational database allows AWI staff to create Ad Hoc reports to respond quickly to inquiries, saving valuable report design time.

The uFACTS Solution Framework has been implemented successfully in multiple states, and has the benefit of many predefined reports that can be customized to the specific needs of AWI. These standardized reports support regular review of information organized into Federal, State, and user-defined formats. In addition, the other standard components of the uFACTS Solution framework allow security management of each individual report within the System. This flexibility in managing the standard UC reports within the system gives supervisors a powerful tool which needs no additional coding, and very little customization "out of the box". However, we also recognize the very real

need for non-standard, or "Ad Hoc" reports to be created according to flexible and dynamic user-defined criteria.

The Reporting Services Module allows AWI to generate all necessary UC reports for departmental use. Also, because UC departments in different States require specific statistical reports, data, and formatting to be published on departmental websites, we customize this component for each uFACTS Solution Framework project.

We are proposing a set of SAP Reporting tools to deliver this functionality, including SAP Xcelsius Enterprise Interactive Viewing, and SAP BusinessObjects Web Intelligence. These two tools give users powerful abilities to:

- Create compelling reports with user visualizations
- Interactively explore reports
- Organize reports in folders
- Design ad hoc reports easily and add reports for future reference and use
- Search for regularly-generated reports

This combined approach to meeting AWI reporting needs provides powerful decision support and fast response to research and other inquires, while saving valuable report design time.

Deloitte's Project Approach and Project Schedule (*Tab 4 – Project Approach and Methodology*) include the Contractor Reports Development Responsibilities and assume Agency (AWI) Reports Development Responsibilities (*ITN, Section D, Exhibit 1, 8.3.1* and *8.3.2*).

5.2.1.3 Forms and Correspondence Development Approach and Methodology

Deloitte's proposed Forms and Correspondence Development Approach and Methodology complies with the requirements outlined in *ITN Section D, Exhibit 1, 8.4 Forms and Correspondence Development*.

Deloitte will develop forms and correspondence electronically as identified in the Requirements Definition Document. Each form and correspondence will be developed using a template that can be easily modified. Each form and correspondence will be documented specifying its purpose, format, content, frequency, and when it will be generated without user intervention. Each form and correspondence will be made available electronically and in hard copy.

The uFACTS Solution Framework is built around the concept of template-driven correspondence. This approach allows for the creation and maintenance of correspondence and forms by business users, instead of requiring efforts by programmers. Pushing the ownership and maintenance responsibilities to the business users allows for faster template creation and more consistency of boiler-plate wording/styles throughout the organization.

Deloitte's uFACTS Solution Framework is integrated with HP Exstream correspondence software. Exstream is composed of:

1. A visual design interface with remote collaboration capability for template authoring and editing
2. Live Editor for editing intelligent interactive documents
3. Exstream engine for high-volume and on-demand document delivery

4. Other supporting modules for document processing such as data access, post composition, postal sorting and bundling

A Correspondence Template in uFACTS is designed and managed using the Exstream design interface. The design interface facilitates WYSIWYG editing with drag-and-drop and variable data mapping features. It provides sophisticated tools for designing complex documents that have dynamic tables and complex design objects. The word processing interface provides spell checking for different languages, grammar, dictionary options, and various text formatting features. The template content can be customized by defining business rules and custom logic. It can be configured so that users with varying organizational roles within an enterprise can collaborate on the design and content. The template designer also allows definition of standard text blocks which could be reused across multiple templates. Using these tools speeds the creation and modification effort while maintaining consistent data formatting and use throughout the application, reports, and correspondence templates.

Deloitte's Project Approach and Project Schedule (*Tab 4 – Project Approach and Methodology*) include the Contractor Forms and Correspondence Development Responsibilities and assume Agency (AWI) Forms and Correspondence Responsibilities (*ITN, Section D, Exhibit 1, 8.4.1* and *8.4.2*).

5.2.1.4 Functional Design Approach and Methodology

Deloitte's proposed functional design approach and methodology complies with the requirements outlined in *ITN Section D, Exhibit 1, 8.5 Functional Design*.

Deloitte's Project Approach and Project Schedule (*Tab 4 – Project Approach and Methodology*) include the Contractor Functional System Design Responsibilities and assumes Agency (AWI) Functional System Design Responsibilities (*ITN, Section D, Exhibit 1, 8.5.1* and *8.5.2*.).

The following *Section 5.2.1.5 – Technical Design Approach and Methodology* describes Deloitte's process for developing and updating Functional Design documentation.

Deloitte's Technical Design includes functional system design deliverables and prototyping of forms/screens, menu navigation, and business functions.

5.2.1.5 Technical Design Approach and Methodology

Deloitte's proposed Technical Design approach complies with the requirements outlined in *ITN Section D, Exhibit 1, 8.6 Technical Design*.

Deloitte's Project Approach and Project Schedule (*Tab 4 – Project Approach and Methodology*) include the Contractor Technical Design Responsibilities and assume Agency (AWI) Technical Design Responsibilities (*ITN, Section D, Exhibit 1, 8.6.1 and 8.6.2*).

Design Phase Reveals How the System Works

Once we complete the Define phase and corresponding deliverables to demonstrate what your new system will do for you, we establish the Design phase to demonstrate how it will work.

The Deloitte Playbook Design phase uses the uFACTS Solution Framework as the starting point for the high-level design and focuses on fine-tuning the detailed business and technical systems requirements and developing the appropriate technical design documents and test plans for each application component. Thus, the Deloitte Playbook approach delivers detailed design specifications for building your entire system in Design.

In the process of developing the UCCBIS design, Deloitte expands on the use cases to develop a customized design for AWI. We develop use cases for business and technical requirements using Joint Application Design (JAD) sessions and related activities.

We capture output using Rational Rose, expanding on our work from the Define phase. Subsequently, to verify that all requirements are in the design, we evaluate and trace specific functions against the requirements.

Dreamweaver is used to develop new pages (screens) or modify existing uFACTS Solution Framework pages.

Our approach of using uFACTS screens as prototypes and as a baseline for design during JAD sessions enables future users to visualize their new system before it is developed.

When design modifications arise during the Develop phase, traceability saves time and effort by enabling us to link issues to possible corresponding requirements. Thus, we can resolve issues without impacting the initial requirements.

Technical JAD sessions and related activities result in the application, technical, integration, and data architecture, and conversion design. The Project team staff and appropriate stakeholders receive training in performing JAD sessions and their roles in the process. This focused training allows staff to be more active participants in the process than generic training would.

In addition to the specific business functionality designed during this Design phase, we design other components required to support your new system, including the data conversion and interfaces infrastructure.

Did you know

The uFACTS Solution Framework initiates discussion, identifies constraints, and fleshes out modifications quickly – unlike taking the "blank page" approach to design.

Design Phase and the uFACTS Advantage

The following figure provides a more detailed description of the uFACTS Knowledge Repository assets used during the Design Phase. These templates help the project team navigate Design Phase activities and tasks and facilitate knowledge transfer. The exhibit below documents business model artifacts and their relationships. Additionally, we have provided examples of a State Diagram and Class Diagram.

[redacted]

[redacted]

Deloitte's Playbook Guiding Principles – Visual Modeling: Business models help the project team visualize, specify, construct, and document the system. By hiding the technical detail and jargon visible in low-level models, users and stakeholders are presented with business-level, functional information in the higher level business model.

[redacted]

JAD Sessions Facilitate Critical Knowledge Sharing and Result in Deliverables

Deloitte has been successful with its JAD approach at a number of state UC agencies, including Massachusetts, Minnesota, Florida, Ohio, New Mexico, and New Hampshire.

The JAD session develops application system specifications and we use facilitated collaboration geared to modifying and enhancing the to-be process models for the new system.

The JAD approach helps shape our collaborative development efforts. It is composed of UCCBIS design teams, users, SMEs, and developers.

The JAD sessions use law, policy, and business rules as input into the design of the new system. The sessions differ from JRM sessions in the Define phase by focusing on development and detail business design – the "how" versus requirements definitions and validation or the "what."

Did you know

Previous UI implementations have included bridges to DB2- and IDMS-based legacy systems. For example, we implemented the UI Tax System in Minnesota using DB2 on the mainframe.

Detailed Design Software Requirements Specification

Our Detailed Design Software Requirements Specification captures the complete software requirements for the system, or a portion of the system focused on during the JAD sessions. In maintaining a strategy to mitigate risk wherever and whenever possible through our iterative approach, we focus activities on identifying missing use cases, and on elaborating critical use cases and specifications first.

Data Modeling Plans

We use CA ERwin Data Modeler to create and generate your logical and physical data models. The tool has the capability to verify the integrity of our database design and analyze the design for completeness. For example, we use the uFACTS Solution Framework data model as input to the process and apply changes required by the UCCBIS solution.

The data model serves as the foundation for your system. Our methodology places critical emphasis in this area.

When we make changes to the data model within the tool, the tool automatically reflects changes in the physical data model and the corresponding DDL. Further, we can trace all business and technical requirements reflected in the database design to corresponding requirements maintained within RequisitePro.

5.2.1.6 Business Process Re-engineering Approach and Methodology

Deloitte's proposed Business Process Re-engineering Approach and Methodology complies with the requirements outlined in *ITN Section D, Exhibit 1, 8.7 Business Process Updates*.

Deloitte's Project Approach and Project Schedule (*Tab 4 – Project Approach and Methodology*) include the Contractor Business Process Re-engineering Responsibilities and assume Agency (AWI) Business Process Re-engineering Responsibilities (*ITN, Section D, Exhibit 1, 8.7.1 and 8.7.2*).

Business Process Reengineering Leads to Automation and Efficient Workflow

Deloitte's BPR approach was successful for Minnesota's UI TIP system and covered the following areas:

- EMS/CMS 2000 with 31 process teams
- BMS re-write for three process areas
- We helped reduce staff levels and days outstanding improving UC trust fund balances

In some projects, BPR is a separate phase of the project and comes before the beginning of system development activities. In our experience, it is difficult to accomplish the task separately given the average budget and time to implement. Therefore, using our Playbook methodology, while leveraging our uFACTS Solution Framework, allows us to integrate BPR tasks within the project Define and Design phases to perform analyses of processes and technology enhancements simultaneously. Combining the tasks has been successful on our uFACTS engagements because most important business process changes occur as the result of technology changes.

The BPR process requires we work with AWI leadership, stakeholders, and project leads to identify valuable process areas where reengineering can provide the most significant results (for example, determining the impact of improved customer self-service capabilities). Our experience shows that most UC business processes fall into one of three categories:

- Business processes that cannot be changed due to federal or state laws and regulations
- Business processes that are candidates for incremental change
- Business processes that are candidates for transformational change

No matter into what category the UC business process may fall, we aim at improvements and efficiencies across all your business processes by enabling technology.

Combining BPR with our advanced requirements processes not only saves time but logically couples process analysis with technology requirements development. It's a practical and efficient approach that has shown to be successful in many of our engagements.

As-Is Process Model Targets Critical Improvements

As with AWI, many of our clients have an as-is process model prior to beginning their new initiative (see the following figure). We leverage your documentation and incorporate it into our BPR process to avoid "reinventing the wheel."

We appreciate any and all due diligence and well-documented processes AWI provides to assist us in quickly establishing a baseline for process improvements.

By reviewing processes alongside the Define phase teams, BPR analysts are fully equipped to design process changes with a clear understanding of business requirements. Therefore, we expedite the BPR initiative for you, while also enhancing the effort over traditional BPR practices.

[redacted]

Process maps, or workflows, represent your new system. To-be process diagrams demonstrate where the new system automates manual processes, where redundancies in process are eliminated, how a particular function processes more than one step, and where the new system saves time and energy.

To-Be Process Model Reveals New System Features

The to-be process model is a process flow that serves as the basis for designing your new system. Process maps, or flows represent the future automated processes and are instrumental in finalizing requirements and use cases.

The to-be process model for the UCCBIS system aids in transforming the State's current UC systems from a silo-based operation into an integrated platform. It is developed in the Define phase but later used for further definition in the Design phase.

While the as-is process model becomes the baseline for the to-be model, users and SMEs are required for input.

We accompany diagrams of the primary and alternative steps in your processes with descriptions to make it easy to navigate in walkthroughs with the BPR team.

The BPR influenced to-be process model is designed to help achieve operational efficiencies by improving processes and eliminating redundancies. It is also instrumental in helping to augment support of the new system as shown in the following figure.

AWI to-be processes are rolled out with the deploy phase of the UCCBIS solution.

[redacted]

5.2.1.7 Interface Design and Implementation Approach and Methodology

Deloitte's proposed Interface Design and Implementation Approach and Methodology complies with the requirements outlined in *ITN Section D, Exhibit 1, 8.8 Interface Definition*.

Deloitte's Project Approach and Project Schedule (*Tab 4 – Project Approach and Methodology*) include the Contractor Business Interface Definition Responsibilities and assume Agency (AWI) Interface Definition Responsibilities (*ITN, Section D, Exhibit 1, 8.8.1 and 8.8.2*).

Bridges with Legacy Systems

Deloitte's well-established approach recognizes that the integration, coordination, and exchange of data between the new system and the legacy systems are critical.

We based our approach to bridge the new UCCBIS solution on our experience from prior UC engagements. AWI requirements are similar to other UC projects we have completed, with iterative build and incremental release schedules.

Proper planning, development, and implementation of the interfaces to connect UCCBIS to ancillary AWI UC systems and external stakeholders is essential to the success of the project. Deloitte will work collaboratively with AWI to develop an Interface Management Plan that identifies the system integration interfaces required for the UC Claims and Benefits applications and describes our strategy for designing, developing, testing, implementing, and maintaining them.

Interfaces identified in the Interface Management Plan will include bridges to other elements of the UC System and external interfaces with agencies outside of AWI and entities with which AWI has data sharing agreements. The Interface Management Plan will not, however, include a description of data transmissions that are wholly within the control of the UCCBIS Project. For example, we will not include data transfers from the production UC Claims and Benefits Database to the Data Mart in this plan.

Our overriding objective is to identify interface integration points early to help control risk. We must begin coordination with the external interface stakeholders early on to resolve any potential issues that may arise due to the new technology environment or business objectives that underlie the UC Claims and Benefits system.

The Interface Management Plan will serve to augment the overall UCCBIS Project plan by providing a lower level sub-plan for the tasks related to development, testing, and deployment of the UCCBIS interfaces.

General Approach

The requirement for bridges to legacy applications varies over the course of the project as we deploy each increment.

Deloitte will work closely with AWI to determine the detailed requirements for these interfaces in the Define phase. To identify the issues and approaches for each interface, the Deloitte Team will need access to knowledgeable technical staff who understand the legacy data sources and data structures. Conversely, AWI staff will need access to Deloitte resources who understand the uFACTS data structures.

We consider the interface topics individually, but with an eye toward consistency of approach for like items such as batch file transfers or real-time data transfers. A group of technical and business analysts collaborates to determine the approach for each required interface.

The approach for each topic follows the same overall pattern:

- Identification of interface requirements
- Determination of needed frequency
- Determination of preferred tools and transfer method (data transformation, transport, and error recovery)
- Meetings with external interface stakeholders to validate interface details
- Resolution/decision of combined UCCBIS Project and external stakeholder teams
- Selection of Interface Strategies and development of System Interface Design
- Planning of approaches for maintenance of the interface in testing and production environments

System Interface Definition and Design

Deloitte will work with the AWI project team members to plan for the successful integration of the UC Claims and Benefits System into the existing UC system environment.

As part of the Design effort, we develop an Interface Design detailing the interface requirements for the system and other UC Claims and Benefits System and non-UC Claims and Benefits systems. The Interface Design provides the detail on how the new system integrates with existing system interfaces.

Whenever possible, the interfaces operate in real time, although the architecture of the interfacing systems dictates the type of interface to be implemented. As part of the analysis and design process, we evaluate each interface against a set of criteria with performance, maintainability, complexity, and risk considerations.

Our team has the experience necessary to successfully build the bridges required to connect UI Modernization to AWI's existing systems and partners.

Deloitte's Playbook Guiding Principles – Iterative Development

An iterative approach to delivering large complex systems, based on the functional decomposition of the UCCBIS solution (iteration), enables us to execute on parts of your new system while testing code, fixing specific components as necessary, adapting architecture and technology as we go, and enabling system components incrementally for each iteration.

An iterative approach assists in mitigating risks, accommodating change, and achieving high quality standards. We are also better able to capture lessons learned and optimize reusable components.

Our UCCBIS Project Approach includes five iterations across three implementation phases.

Design Flexibility Provided by Support for Multiple Interface Strategies

The interface requirements for integrating the UC business functionality into AWI enterprise are complex, requiring a variety of Interface Strategies. We designed the Interface Management Approach to provide a variety of techniques for accessing the Business Tier services using four distinct interface paradigms:

- Web Services
- Messaging
- Enterprise Data Integration
- Complex Routing and Orchestration:
  - Orchestration
  - Routing
  - Mediation
  - Security

Facilitated JAD sessions will help select and define the appropriate Interface Strategies. Sessions often require participation from other areas of the business or interfacing agencies to determine the proper types of interfaces among other enterprise services, external services, or other systems.

Benefits to our Interface Approach

Deloitte's Interface Management approach covers the full lifecycle of Interface Integration. We move from the identification of interface integration points to documenting the detailed tasks associated with the interfaces and designing the interface programs, file layouts, and transmission procedures through the development, testing, and implementation of the system interfaces that will facilitate the integration of the UCCBIS Solution within AWI's existing environment.

Our team has used the proposed Interface Management approach for several successful state UC modernization efforts and many other state government systems. We have successfully implemented systems with linkages to existing legacy applications and data stores and to external providers. AWI requirements are similar to other UC projects we have completed, with iterative build and incremental release schedules.

5.2.1.8 Code and Unit Test Approach and Methodology

Deloitte's proposed Code and Unit Test Approach and Methodology complies with the requirements outlined in *ITN Section D, Exhibit 1, 8.9 Code and Unit Test*.

Deloitte's Project Approach and Project Schedule (*Tab 4 – Project Approach and Methodology*) include the Contractor Code and Unit Test Responsibilities and assume Agency (AWI) Code and Unit Test Responsibilities (*ITN, Section D, Exhibit 1, 8.9.1 and 8.9.2*).

The Develop Phase (Code and Unit Test)

In the Develop Phase, we build and begin testing your solution to prepare for deployment. With our experience and tools, we leverage our work from the Design phase and apply our iterative approach to deliver a high-quality system on a timely basis.

The Deloitte Playbook Develop phase focuses on the development and unit testing of your new system components. Its purpose is to iteratively construct and configure the solution elements defined during the Design phase.

Our iterative approach allows us to build, test, and update components across multiple development cycles in our construction of the application. Together with our approach,

Collaboration is an essential feature of our methodology. It has proven successful time and again in effectively interpreting and developing code. By integrating design and development teams with your staff, we build the system to meet your needs now and prepare you for the future.

the uFACTS Solution Framework allows us to leverage reusable code and development templates, common functions, and standards to speed development and minimize risk.

As we develop the solution, we fully test and then integrate it. On completion of systems integration, we obtain the appropriate approval and prepare for the Test phase.

The following key attributes of the Deloitte Playbook Develop phase lead us in preparing for a seamless deployment:

- Integrated Development Teams
- Creation of Application Code
- Development Framework (uFACTS Technical Framework)
- Testing Strategy and Approach

Ultimately, our iterative approach to development serves us in all areas of the Develop phase to help eliminate many of the issues common to the traditional waterfall approach.

The Develop Phase and the uFACTS Advantage

The following table provides a more detailed description of the uFACTS Knowledge Repository assets that we use during the Develop Phase.

[redacted]

5.2.1.9 Location for Software Development Activity

The UCCBIS project team will perform software development activity in Tallahassee, FL at office space provided by AWI.

5.2.1.10 System Integration Testing Approach and Methodology

Deloitte's proposed System Integration Testing Approach and Methodology complies with the requirements outlined in *ITN Section D, Exhibit 1, 8.10 System Integration Test.*

Deloitte's Project Approach and Project Schedule (*Tab 4 – Project Approach and Methodology*) include the Contractor System Integration Testing Responsibilities and assume Agency (AWI) System Integration Testing Responsibilities (*ITN, Section D, Exhibit 1, 8.11.1 and 8.11.2*).

Deloitte's Playbook Guiding Principles – Software Quality Management: Verifying a system's functionality, which is the bulk of the testing activity, involves creating tests for each key business scenario, each of which represents some aspect of the system's desired behavior. We employ a continuous quality assessment of the system with respect to functionality, reliability, application performance, and system performance

The Test Phase

This section of our methodology describes Deloitte's approach to Testing, including, but not limited to, how we will conduct Unit, Integration, System, and User Acceptance Testing (including how we will involve AWI UC Program staff in system and integration testing); and confirmation of completion of Unit, Integration, and System Testing prior to handing the system to AWI for Acceptance Testing.

Testing confirms that the application meets functional requirements and achieves desired results. We record all discrepancies in development throughout the testing process to help track whether the application meets overall system needs.

Our testing lifecycle includes a hierarchy of testing levels.

Like the other lifecycle development phases, we rely extensively on artifacts from our uFACTS Knowledge Repository. In the Test Phase, we use UC Claims and Benefits Modernization Test Strategy documents, Test Plans, and Test Scripts. This is another example of where AWI benefits from our repeatable processes and the ability to leverage artifacts, resulting in a high-quality product delivered on a timely basis.

V-Model Testing

We express our test methodology as a "V model" where we match each phase of development with a corresponding level of testing.

- Unit Testing
- Integration Testing
- System Testing
- User Acceptance Testing

[redacted]

Requirements traceability binds the phases together. During the first stages of design, we identify and link each business and technical requirement to software development artifacts such as use cases, test scenarios, and, ultimately, test scripts. In this way, we can trace tests back to the requirements that they verify. In addition, we can track changes to a requirement back to their corresponding software components to help identify the impact of the changes.

Our testing processes begin with a test strategy that we use to create a test plan. We base the strategy on the business requirements and the major application components. The strategy includes any necessary considerations for the test environment, tools, and roles (played by the members of the project team). We use test cases and test scenarios (use cases) to represent testable conditions and events. We turn these cases and scenarios into test scripts used for the actual testing. We use a data validation matrix to document the validity of the data that we use as the basis for the testing. We produce and analyze test results to determine the success of the application or system.

Did you know

Once we test units of the solution, we integrate them with system components. We then test the system components and integrate them with the overall system. Once the system is fully integrated, we are cleared for the next phase of the project.

[redacted]

Within the four testing levels, we can use a number of test methods. Our testing approach includes all the following methods at various points in the testing lifecycle:

- **Black-box.** This is also known as functional testing (includes usability testing).
- **White-box.** This is also known as structural testing.
- **Path.** This is a testing method satisfying the coverage criteria that require that we test each logical path through the program (includes interface testing).
- **Regression.** This is the testing of a previously verified program following program modification for extension or correction.
- **Installation.** Installation testing is the testing of installation programs and procedures to identify defects in the installation process required by multiple platforms.

- **Performance.** This is the testing of the system's actual performance (stress testing) in comparison with performance objectives (operational requirements) such as response times and cycle run-time.
- **Backup and Recovery.** This is testing of the backup and recovery procedures, including the testing of data or program components recovered from backup media, to identify possible defects or issues.

Because our development methodology is iterative, it follows logically that our testing methodology is iterative as well. The criticality of testing to the overall success of the project dictates that we involve the test team early in the development process. The test team must plan and prepare for testing as we develop the design. Parallel development and testing help drive timely delivery and quality of the new UCCBIS solution.

As we confirm that we meet requirements and design accurately through testing the application, our test teams become an integral part of the development process. The team plans and prepares for testing as we develop the system design. This parallel approach to development and testing assists in the timely delivery and quality of your new system.

[redacted]

5.2.1.11 User Acceptance Testing Approach and Methodology

Deloitte's proposed User Acceptance Testing Approach and Methodology complies with the requirements outlined in *ITN Section D, Exhibit 1, 8.10 System Integration Test*.

Deloitte's Project Approach and Project Schedule (*Tab 4 – Project Approach and Methodology*) include the Contractor User Acceptance Test Responsibilities and assume Agency (AWI) User Acceptance Test Responsibilities (*ITN, Section D, Exhibit 1, 8.11.1 and 8.11.2*).

Your users are the final test. We work with you to coordinate and ease the testing process. Our aim is a UAT that does not impact staff productivity. Once we test and know the system passes muster with users, we are ready to move forward with transferring the new system to you, entirely.

Deloitte's User Acceptance Testing Approach

Deloitte will establish a System Test Plan during initial project management initiation activities followed by a User Acceptance Test Plan once we finalize stakeholder-related activities and schedules. We will finalize and document each of the component tasks within acceptance testing within the User Acceptance Test Plan, and assign each task within the larger project work plan to specific resources. Immediately after we finalize the User Acceptance Test Plan, we communicate each of the tasks within the work plan to the responsible parties for completion.

Project Tasks during Acceptance Testing

- **Plan UAT.** UAT planning begins with the creation of the comprehensive System Test Plan, and with the subsequent documentation contained in the Acceptance Test Plan.
- **Identify Participants.** Assist in identifying participants and scheduling UAT sessions.
- **Establish Acceptance Test Database.** Establish and populate the acceptance test database as required to execute the test scripts.
- **Create UAT Scenarios.** Developing UAT scenarios and detailed end-to-end test scripts.
- **Assist AWI.** Assist AWI during UAT execution. AWI acceptance testers will test the functionality of the system and ancillary products along with selected conversion routines and system interfaces.
- **Provide Technical Assistance.** Provide guidance for database and application environment creation, as well as environment troubleshooting assistance during acceptance testing.
- **Correct Issues.** It is not expected that one hundred percent of all scenarios will succeed when executed by AWI acceptance testers. Because of this, we will follow procedures for documenting and routing any issues recorded during testing.
- **Document UAT completion.** The execution of all of the UAT scenarios by AWI acceptance testers will confirm the completion of user acceptance testing.
- **Final Deployment Approval from AWI.** Once users have completed UAT, project management will prioritize any remaining defects, and decide which ones are required to be addressed before production deployment may proceed. Once we address these issues, project management will proceed with production deployment.

Did you know

Key data conversion statistics for Minnestota UI Benefits Implementation

We successfully executed a conversion involving close to 72 million wage records (18 quarters) and 30 million benefit charge records.

User Acceptance Test Plan Content and Detail

The comprehensive AWI User Acceptance Test Plan will document each of the techniques, tools, and procedures to be used during the acceptance testing activities. To provide adequate insight to project management, and granular tracking of acceptance test activities, each of the sessions for acceptance testing will have a specific timeline, specific scenarios, and individually identified acceptance testers.

We will work with AWI to identify the level of planning that meets your goals for user acceptance testing; in previous implementations of uFACTS, we have successfully organized the acceptance testing sessions and tasks at the subsystem level (functional area). Within each subsystem, we group use cases to represent specific areas of business processes, and, that signify subject matter. This allows project management to not only organize the use cases into intuitive groupings for planning purposes, but it also allows

AWI directors to allocate adequate time for identified subject matter specialists to serve as AWI acceptance testers.

5.2.1.12 Data Conversion Approach and Methodology

Deloitte's Project Approach and Project Schedule (*Tab 4 – Project Approach and Methodology*) include the Contractor Data Conversion Responsibilities and assume Agency (AWI) Data Conversion Responsibilities (*ITN, Section D, Exhibit 1, 8.11.1 and 8.11.2*). Deloitte's proposed Data Conversion Approach and Methodology complies with the requirements outlined in *ITN Section D, Exhibit 1, 8.12 Data Conversion*.

Data Conversion

The conversion of the existing UC data is a major undertaking and is a key component to implementing UCCBIS successfully. Data conversion plays a key part in providing quality service to AWI's citizen and employer customers. Our focus on data conversion crosses the phases described earlier. Each of our referenced UC Claims and Benefits Modernization references includes successful data conversion efforts. Our detailed, collaborative approach and knowledge of your UC business helps minimize the risks typically associated with data conversion.

Data Conversion Approach Introduction

Our conversion approach transfers the operational data from legacy systems into UCCBIS as depicted in the following exhibit. In addition, some files requiring conversion may become interfaces – either temporary bridges or ongoing interfaces.

In terms of an overall approach, we extract data from the legacy source and stage it. Historical and live data are put through conversion programs on a different schedule to maintain the integrity of production data during the various conversion increments. Only data that have been verified make it to the new databases. Data continues to reside in the staging area until it passes the transformation rules necessary to load the databases. Conversion programs (automated and manual) run against the staged data.

Department of Information Technology (DoIT)

"The technical resources Deloitte has brought into this project have been exemplary. I have found them to be very professional and competent in performing the tasks necessary to install and customize this application to meet the needs of NH Employment Security. The thoroughness demonstrated in the analysis of our legacy environment resulted in an extremely high success rate in the conversion of claims into the new UIM application. Also, the level of technical documentation and training afforded will greatly facilitate our ability to assume full operation and support of this application after the contracted Deloitte-provided warranty and maintenance period."

Ronald Slocum
NH UIM
Project Manager, DoIT

AWI staff, in collaboration with Deloitte, determines the data that require manual cleansing and subsequently performs the manual cleansing of data based on reports produced by the conversion team. Our team stages that data for remediation. We load cleansed data that pass transformation rules and begin the nightly synchronization process.

We create data necessary to support other new functions (i.e., interfaces for cross-matches, Labor Market Information [LMI], ad hoc reporting, and automated clearinghouse [ACH] financial transactions) during the conversion process.

Data Conversion – Guiding Principles

As you begin to deal with the issues surrounding the conversion of your source systems, you need a team that brings the requisite experience and approach to this area of the UCCBIS Project. Otherwise, this may seem like a daunting task fraught with risk to the overall project success. Our team has successfully converted six state UC systems in the last eight years, and we understand how to be successful with you in this effort. Specifically, we have successfully converted similar data that are required for the UCCBIS Project. Based on this experience, we have incorporated the following guiding principles into our conversion approach:

- Begin data conversion right away. To be successful, we need to initiate data conversion activities in the early stages of the project.
- Build a collaborative relationship between AWI and the Deloitte Team to produce a thorough understanding of the data requirements from the target and source systems, and to confirm and refine these requirements throughout the project lifecycle.
- Use automated conversion tools, where appropriate, to optimize the conversion process, minimize manual data entry, and support the implementation schedule.
- Design and build conversion processes to maximize reuse (conversion tools and processes should be as transferable as possible across multiple data sources) and repeatability (the conversion process for each data source should provide support for updates, refreshes, and/or reconversion of data should the need arise).
- Apply the iterative principles of our overall systems development methodology to the conversion process, allowing for continual improvement of data quality and reduction of manual data entry as the activities progress.

Our guiding principles have allowed us to build a successful foundation to for conversion-related activities on other similar UC modernization projects, so have been tried and tested for AWI.

Data Conversion Lifecycle

Deloitte's conversion approach covers the full conversion lifecycle. We move from developing a conversion plan to validating conversion for an iteration, and populating development/unit test, system test, training, and production databases.

[redacted]

[redacted]

Our approach covers several iterations of functionality. We need to evaluate further during the project which, if any, iterations of functionality do not require data conversion.

Our overall conversion approach includes the following:

- **Develop Conversion Plan.** We work with the State to define the conversion strategy, methods, and data sources. At a high level, we map the data and conversion flow.
- **Design, Develop, Test, and Run Conversion Programs.** This task is similar to the Design and Develop phases of Stages 1-4 application development. We design and develop detailed conversion programs, execute test scripts, and correct incidents as necessary.
- **Validate and Verify Data Loaded.** To validate the data and correct incidents early, we perform mock conversions before converting data for training or production. We define error handling and produce reports to monitor the progress of conversion for each increment.
- **Implement, Execute, Validate, and Verify Conversion.** During this stage of the process, we are ready to move data into production. We produce conversion reports to confirm data loads successfully, and that manual cleansing is required of some data.

[redacted]

Data Conversion Statistics from Minnesota UC Benefits System

90,000 Active Claimants and the associated account, monetary, non-monetary, claim, payment and overpayment records from the past seven years was successfully converted prior to implementation in October 2007

Technical Tools for Data Conversion

We use multiple tools for the conversion effort. In each conversion task, we use various tools to validate data quality, map system data elements, and transfer data from one system to another. For example, during the cleansing step shown previously, we manually view converted data in the UCCBIS database tables, using the Embarcadero RapidSQL Developer solution. This tool enables programmers to query the database, looking for select records to verify conversion data quality. Our team uses the SAP Data Services Pro tool to manage the transformation process for data. This tool allows our team to define all source and destination data, recording the transformation rules for each data element.

In addition, we custom develop scrubbing report programs to provide a system-wide view of converted data. These reports include a listing of invalid data elements and summary counts. Our team uses these reports to gain a complete picture of conversion errors and to make conversion decisions.

Implementation Challenges

A key construct of our data conversion and migration strategy is to apply lessons learned from other UC data conversion processes. By applying these experiences, we can address conversion issues that are likely to occur. From these experiences, we have developed strategies for dealing with common conversion challenges.

The UCCBIS Project data conversion activities face common data conversion challenges that accompany large-scale conversion efforts. The following figure summarizes these challenges and lists the strategies our team employs to address them. Many of these challenges relate to the types of anomalies we can expect with the transition from non-relational database architecture to a relational architecture.

[redacted]

5.2.1.13 Installation and Implementation Approach and Methodology

Our success is your success. We plan to help you become self-sufficient at the onset of the project by providing mentors and by transferring knowledge throughout the project. It all comes together in the Deploy phase. And you are only successful when you have a complete system, maintainable by AWI staff.

Deploy Phase Delivers a Complete and Operational System

The project is complete only when we deliver your new system and it is in full production. Our effort to meet this goal begins with the Define phase and culminates in the Deploy phase. Preparation is a key element to successfully turning over any system. Therefore, we require extensive planning, complete documentation, and effective training throughout the project.

In Deploy, we leverage the efforts put forth during previous phases of the project. We thoroughly prepare you to take over operations at completion of deployment.

The primary goal in the Deploy phase is to implement the solution functionality into production. Therefore, we focus on four major areas of activity necessary to properly transition the system:

- Implementation Planning, Preparation, and Execution
- Data Conversion
- Training and Knowledge Transfer
- Operations/Post-Implementation Support

Deploy Phase and the uFACTS Advantage

The following table provides a more detailed description of the uFACTS Knowledge Repository assets used during the Deploy Phase. These templates help the project team to navigate Deploy Phase training and implementation activities and tasks and facilitate knowledge transfer.

[redacted]

[redacted]

5.2.1.14 Hardware Installation Approach and Physical Installation Location for Each Phase

Deloitte's Playbook Guiding Principles – Component-based Architecture: The uFACTS application architecture provides an adaptable solution, as opposed to a fully custom solution. By integrating existing enterprise services with application-specific services, we save the time it takes to start development of your new system. In addition, by separating the development efforts across service boundaries we expedite our delivery while providing for maximum ability to reuse system components.

Deloitte's proposed Hardware Installation Approach and Physical Installation Location for Each Phase complies with the requirements outlined in *ITN Section D, Exhibit 1, 8.13 Installation and Implementation*.

Deloitte's Project Approach and Project Schedule (*Tab 4 – Project Approach and Methodology*) include the Contractor Installation and Implementation Responsibilities and assume Agency (AWI) Installation and Implementation Responsibilities (*ITN, Section D, Exhibit 1, 8.13.1 and 8.13.2*).

Deloitte understands that it will be responsible for providing hardware installation services for hardware that is specifically needed for the proposed system with the State's Southwood Shared Resource Center (SSRC) providing the floor space, power, and cooling facilities required of a Tier 3 data center. The Deloitte Team is experienced in planning, executing, and managing hardware installation tasks and will work with designated personnel at the SSRC to complete the installation of server and storage hardware at this location in accordance with the State's standards. In addition, Deloitte will take responsibility for installing scanning workstations and scanning equipment at locations where AWI requires scanning to be performed (assumed to be 12 or fewer locations). In the event our clients require certain hardware components be installed by the hardware manufacturer, installation services are purchased as part of the hardware procurement and coordinated by Deloitte in cooperation with designated state personnel. Deloitte understands that the SSRC will be responsible for network infrastructure (switches and routers) and infrastructure security (firewalls, intrusion prevention, intrusion detection and configuration of network infrastructure). We will work with designated SSRC personnel to provide details of the network infrastructure and firewall configurations required for the proposed system and to verify that installed hardware is properly integrated into the SSRC network infrastructure.

A detailed list of hardware and software for the UCCBIS solution is provided in *Section 5.3 – Technical Description*.

A Production Pilot is planned for each implementation. This final testing activity follows User Acceptance Test, Training, and System Documentation during the Deploy phase.

5.2.1.15 Production Pilot Approach and Methodology

Deloitte's proposed Production Pilot Approach and Methodology complies with the requirements outlined in *ITN Section D, Exhibit 1, 8.14 Production Pilot*.

Deloitte's Project Approach and Project Schedule (*Tab 4 – Project Approach and Methodology*) include the Contractor Production Pilot Responsibilities and assume Agency (AWI) Production Pilot Responsibilities (*ITN, Section D, Exhibit 1, 8.14.1 and 8.14.2*).

Deloitte will conduct a Production Pilot, of the full system functionality before full deployment by executing a set of test scenarios using converted production data and production transactions with a select group of pilot users from AWI selected locations.

The extended "Pilot" will verify the following:

- Functional aspects of the system
- Operational and stability of software
- Accuracy of conversion of legacy data and manual data
- Impact of missing and erroneous data
- Completeness and accuracy of system documentation
- Impact on workflow and staff productivity
- Response time and overall system performance
- System hardware, software, and telecommunications performance
- Accuracy of system, data, and application security
- Accuracy and performance of system interfaces
- Inclusion of online and/or batch reports relevant to new functionality
- Ad-hoc access to any new data
- Remote internal user access (test VPN)

The benefits of this approach include reduced stress on AWI staff of supporting concurrent production environments while validating acceptance of the UCCBIS solution.

5.2.2 End User Training Approach and Methodology

Deloitte's proposed End User Training Approach and Methodology complies with the requirements outlined in *ITN Section D, Exhibit 1, 9.1 Training*.

Deloitte's Project Approach and Project Schedule (*Tab 4 – Project Approach and Methodology*) include the Contractor Training Responsibilities and assume Agency (AWI) Training Responsibilities (*ITN, Section D, Exhibit 1, 9.1.2 and 9.1.3*)

5.2.2.1 End User Training Approach and Methodology

The implementation of a new information system of any kind is about more than the software or technology itself. A new system is only as good as a system user's readiness to use the system proficiently to achieve the desired business results. Deloitte's primary goal is to assist our clients in becoming self-sufficient in the use of their new system. Your success is our success. Our training approach begins with that end goal in mind. Thus, we ask ourselves the following questions:

- What does each user need to operate and maintain the system?
- What training tools are necessary to accelerate users' proficiency with the system?

We bring a pragmatic training and knowledge transfer approach and use validated training tools and materials currently available in the uFACTS Knowledge Repository. This foundation accelerates the progress toward enabling users to operate and maintain the system, independent of Deloitte, long after we complete the project.

In this section, we present our experience and training approach.

5.2.2.2 Our Experience Jumpstarts Your Project

"Even in these less-than-stellar economic times, Deloitte & Touche is among those select companies that have raised the bar with their training initiatives. Deloitte & Touche has embraced training and workforce development as a mission-critical strategy, and, accordingly, has dedicated significant resources to its training efforts."

Tammy Galvin
Executive editor of Training Magazine

Deloitte brings both UC implementation experience as well as complex public sector systems implementation experience to bear for your UC modernization project. With this foundation of experience, the team will be able to accelerate the identification and development of the most critical elements for this specific implementation and for a full transition to AWI. With reusable project artifacts from multiple past successful projects, we are capable of jumpstarting and speeding the reengineering process with pre-defined and standard UC use cases and UC modernization training material. The demonstrated approach and principles the uFACTS training team brings with them for this project are standard, but the way the team will apply them will address Florida's unique political and business environment.

Our Training Approach Supports UC Implementation Success

We built the Deloitte Training Approach on a variety of guiding principles and techniques to help achieve success with UC implementations, including:

- Jumpstarting training program activities based on Deloitte's existing UC related experience, demonstrated tools and templates, and examples from prior projects
- Providing the appropriate balance between training principles and theories with "on-the-ground" realities and constraints specific to UC
- Leveraging the methods and collateral associated with the Deloitte Playbook methodology and uFACTS Knowledge Repository
- Incorporating the collective experiences of the State's training programs, past and present, to build upon "what works" and avoid "what does not work" while simultaneously avoiding organizational inertia that might prevent improving the way you perform UC training-related activities even if new approaches will yield better results
- Incorporating sound project management principles and skills to coordinate and monitor the progress of the numerous moving parts of the UC training program
- Building effective feedback loops to strengthen the quality and buy-in associated with the training program
- Using training opportunities with communications as a critical interface with virtually all system users to help proactively counteract resistance to change.

"The trainers were light and funny. They helped us through a difficult transition and learning with laughter."

"The trainers were excellent! They made the training fun and easy to understand. They were very helpful."

"The information was presented in a very user-friendly manner. The Deloitte trainers were all very patient and interactive with us. This was one of the best trainings I ever had."

Child Welfare Services Project
Pennsylvania's Department of Public Welfare

5.2.2.3 Training Components for Effective Knowledge Transfer

The following sections provide more detail on the primary training components, their elements, and each component's objectives. We propose the following primary training components for AWI:

- Our Learning Approach
- Knowledge Transfer
- Communications

The figure below portrays the spectrum of potential elements the Deloitte Team may use during this implementation.

[redacted]

Committed to Client Success

"When their contract ended, [Deloitte Consulting] went above and beyond my expectations in facilitating knowledge transfer with my staff members, which was typical of their performance."

Arlene DiMarco
Section Chief, Commonwealth of Pennsylvania, Bureau of Information Systems

Our Learning Approach

We carefully design training programs to achieve efficacy for their intended audiences. Deloitte recognizes that adult learners have different requirements for effective instruction. Our approach draws upon our understanding of how adults learn and we embed the key principles of adult learning theory into design to allow for effective knowledge transfer.

Knowledge Transfer

Deloitte understands the ongoing success of the UC system implementation is largely influenced by the knowledge of the staff that use and support it. Our goal is to assist AWI to prepare your staff to be able to effectively operate and maintain the implementation once we are gone. We will work hand–in-hand with your staff and provide ongoing knowledge transfer of system maintenance and business support functions to get AWI staff to the point of independence. We involve all appropriate staff in every phase of the project lifecycle, including design, development, testing, project management, and implementation to effectively share knowledge and to collaborate.

Our Knowledge Transfer Approach Helps You Meet Your Goals

Our knowledge transfer approach incorporates a framework for establishing and aligning knowledge transfer goals and objectives, executing the knowledge transfer program and processes, and monitoring overall progress throughout the program lifecycle to assure that we help you meet your goals.

The knowledge transfer process at a conceptual level involves three separate stages that we categorize as capability transfer. As the name implies, focusing on capability transfer as part of a broader knowledge transfer process is more than just a passive exchange of information; instead, we focus on building your skills to be ready to do the job.

Delivery Channels for Knowledge Transfer

The transfer of knowledge is both formal and informal and requires a series of different and varied approaches to fully transfer the solution to the appropriate state staff. There are a number of different channels to leverage, based on the specific knowledge to be transferred. We suggest formal training to prepare staff to implement specialized skills or tools, while on-the-job training is most effective in transferring project-specific knowledge. Deloitte provides mentoring to client staff throughout the entire project lifecycle and delivers a repository of system documentation to facilitate ongoing reference.

The following provides a high-level description of these various knowledge transfer delivery channels:

- **Formal Training.** Formal training can take the form of classroom training or web-based training, and should be conducted "just-in-time" so that specialized knowledge that staff will need to perform for the uFACTS activities will be fresh in their minds as they begin to use it.
- **On-the-Job Training.** Our experience has taught us that on-the-job learning is the most effective way to support continuous and efficient knowledge transfer. Given the somewhat repetitive nature of many of the UC Project activities, we will work with AWI staff to support them as they progress through the levels of experience. For example, a common sequence of events might start with one of our staff leading the given task. During a later release, our staff would share responsibility for given tasks with the assigned AWI staff.
- **Mentoring.** Deloitte will provide advice and counsel regarding the use of tools and proficiency necessary to meet associated expectations in producing specific UC work products. This mentoring will provide ample opportunities to share our skills and knowledge with AWI project team members who will assume responsibility for supporting and enhancing the system on an ongoing basis.
- **System Documentation.** Providing our clients with thorough, organized, and easy-to-digest system documentation is a cornerstone of our knowledge transfer approach. We will develop system documentation to be used as part of the knowledge transfer process and as ongoing reference materials by AWI staff. We will develop and maintain these materials using document standards established as part of the project management activities. Over the course of the project, we will update system documentation to reflect uFACTS changes and new functionality.

Training Tools and uFACTS Knowledge Repository

The uFACTS Knowledge Repository provides a strategic advantage to our customers. The repository contains reusable artifacts that represent our lessons learned and best practices gained during our experience implementing effective knowledge transfer programs for UC business processes for several states. These include Montana, Kentucky, Minnesota, and Massachusetts. The reusable training artifacts allow us to more quickly tailor a knowledge transfer and training program that meets your needs.

These artifacts include the following:

- Traditional training manuals
- Topic-specific CBT (Captivate simulations)
- Evaluation materials
- Training plans/schedules from successful UC training projects.

The uFACTS Knowledge Repository includes:

- Training artifacts to support training project staff on project methodologies and tools used on the project and for end-user training
- Training materials to support the training of the internal project team and system users on the use of the third-party tools selected for use during the project. Examples of this type of training material include training on the use of reporting tools for standard and ad hoc report creation, technical training on the use of the technical framework, and training on the document management tools that are integrated into the uFACTS Solution Framework.

[redacted]

The uFACTS Knowledge Repository includes training materials to support the training of the internal team and project stakeholders on the methodologies used to complete the project. These training materials include overviews explaining the JRM and JAD processes, as well as training materials describing how to document system design utilizing Use Cases, Activity Diagrams, and Supplementary Requirement Specifications.

This tried and true approach to knowledge transfer and training, developed to function in concert with the system development process and to parallel industry best practices, allows Deloitte to provide a standardized yet flexible approach to knowledge management. This creates the critical balance that must exist between harnessing the validated aspects of adult learning theory and practice and allowing for the distinct differences in your systems and learning environment. The result is a robust approach that addresses individual user needs, leads to successful system transfer and Department self-sufficiency, and achieves Deloitte's primary indicator of our success – your success.

5.2.2.4 Traditional Training Manuals

Availability of these materials allows administrators of AWI knowledge transfer function to gain efficiency in development.

Deloitte has gathered a set of formal in-class training materials, including instructor manuals, learner manuals, job aids, quick reference guides, train-the-trainer materials, and other material types common to a traditional training environment. These materials have a demonstrated capacity to effectively and efficiently present training content to users and positively influence short-term understanding and long-term retention.

Availability of these materials allows administrators of AWI knowledge transfer function to gain efficiency in development. These materials use existing collateral as a springboard for discussion about your specific knowledge transfer needs. We also can use these materials to develop templates, process guides, or examples to inform the development of traditional training materials specific to AWI environment needs.

Applicant Account History Training Manual

Deloitte uFACTS Knowledge Repository provides a comprehensive set of training artifacts to assist in knowledge transfer

[redacted]

We base the in-class training program on the needs of each user group and it may consist of lecture, lab work, and take-away training materials. In preparing our formal in-class training approach, we focus on effectiveness and efficiency as well as on scheduling. The trainers play a pivotal role in the success of our approach. The trainer position requires versatility, education on the modules, and mastery of required learned techniques to enable the trainer to train others.

Training delivery includes activities such as preparing, printing, and updating materials, disseminating updates, preparing ad hoc materials or job aids as the result of pilot session feedback, distributing course outlines, scheduling, and coordinating training – as well as ongoing support through the training rollout.

5.2.2.5 Topic-Specific Computer-Based Training

Availability of existing CBT modules allows the UCCBIS development team to reap the benefits of a CBT approach while mitigating some of the negative aspects of developing CBT modules.

As a supplement or alternative to classroom training, we offer CBT, which provides staff with an opportunity to reinforce previous learning experiences in an ad hoc manner and enables consistent learning across distance and over time in a cost-effective manner.

CBT enables the user to choose the time, place, pace, and duration of the training. Thus, users can complete a portion of the training, turn their attention to other activities, and then return to the training effort when time permits. CBT also allows individuals to select specific components of a CBT module for focused reviews without having to commit to repeating a complete training course. Further, CBT offers great content control and can incorporate testing, tracking, and reporting tools.

As a result of forward thinking on previous uFACTS Solution Framework implementation projects, Deloitte has developed a series of CBT courses that we can build on to improve future efficiency in development and enhance effectiveness of the materials.

Availability of existing CBT modules allows the AWI development team to reap the benefits of a CBT approach while mitigating some of the negative aspects of developing CBT modules, including higher resource requirements (compared to a traditional training approach), increased technical complexity, and an increase in development time. The latter positive outcome enables CBT developers to begin materials development later in relation to the system development cycle, allowing CBT materials to better approximate the actual system and/or launch sooner in relation to system go-live.

Deloitte's Playbook Guiding Principles – Controlled Changes to Software: Coordinating activities and artifacts with developers and teams requires repeatable workflows for managing changes to software and other development artifacts. Along with iterative software development, we monitor changes continuously to proactively uncover and respond to problems. Coordinating iterations and releases involves establishing and releasing a tested baseline at the completion of each iteration.

CBT Training Materials Listing – Benefits

[redacted]

Following are screenshots from existing CBT modules. Each screenshot (and each line item in the previous graphic) represents a Captivate project file that can be leveraged for routine and customized CBT and traditional training interventions.

Continued Claim: Application CBT

[redacted]

An experienced learning professional manages Training Activities. The resource uses the overall Deloitte Team as we define and develop each training element.

5.2.3 Development of User Documentation Approach and Methodology

Deloitte's proposed User and Documentation Approach and Methodology complies with the requirements outlined in *ITN Section D, Exhibit 1, 9.2 User Documentation*.

Deloitte's Project Approach and Project Schedule (*Tab 4 – Project Approach and Methodology*) include the Contractor User Documentation Responsibilities and assume Agency (AWI) User Documentation Responsibilities (*ITN, Section D, Exhibit 1, 9.2.1 and 9.2.2*).

5.2.3.1 User and Technical Documentation Overview

Documentation is an important component of any system development project, and serves as a foundation to support knowledge transfer. Key requirements for documentation include:

- Documents are created to describe the solution in enough detail to support maintenance and enhancement of the system.
- Documentation provided by software or hardware vendors is organized and made available to those who need it.
- Documentation is written in a way that is understood by its intended audience. Separate documents are written for the needs of different audiences.
- The current version of a document is readily available to members of its intended audience.
- Version control is used to manage the document, capturing what has changed since the last revision.

As part of the UCCBIS Project, we plan to provide the following four types of documents:

- Solution Framework Documentation
- Vendor-Supplied Product Documentation
- Operations Documentation
- Project Deliverables

With the possible exception of vendor-supplied documentation, electronic versions of the documents are provided and ideally are stored for ready access from a folder on AWI's network, on an appropriate website, or within the repository associated with one of the lifecycle tools we use. Our documentation processes enforce version control, providing a way to verify what has changed since the last version. The following subsections further describe these categories of documents.

A list of project deliverables is provided in the following *Section 5.2.4 – List of Deliverables by Project Lifecycle Phase*.

5.2.4 List of Deliverables by Project Lifecycle Phases

The following table outlines UCCBIS project deliverables by phase and is consistent with the deliverables outlined in AWI's Schedule IVB Feasibility Study.

UCCBIS Project Deliverables		
Project Management		
• Project Management Plan • Disaster Preparedness Plan	• Meeting Minutes • Weekly Status Reports (includes Risk Register)	• Project Closeout Report (includes "Lessons Learned")
Define		
• Validated Requirements Document	• uFACTS Solution Framework Installed	• Data Conversion Plan
Design		
• Functional Design Specification • Design Demonstration	• Technical Design Specification • Database Design	• User Interface Prototype • Data Conversion Design
Develop		
• Code and Unit Test Plans and Results		
Test		
• System Integration Test Plan and Results	• UAT Plan and Results	• Technical Test Plan and Results
Deploy		
• Training Environment • Training Plan • Training	• Operations Documentation • Production System Implementation Plan • Production Environment	• Production Pilot • Production System Implementation
Warranty, Maintenance and Operations		
• Warranty, Maintenance, and Operations Status Report	• System Operations and Maintenance Plan	• Transition Plan

Exhibit 5-56. UCCBIS Project Deliverables

5.2.5 Service Level Agreements

In addition to those specifically defined in the functional and non-functional requirements contained in Attachment Q – Requirements Response Matrix, Deloitte proposes service level agreements based on solution delivery for each of the project's three implementation phases using the phases' go-live dates.

Additionally, Deloitte proposes service level agreements for Maintenance and Operations performance to include:

- Uptime and Response Time Metrics
- Backup and Batch Jobs Metrics
- End-User Support Metrics
- Timely Software Updates and Implementation

We look forward to working with AWI to develop and finalize these agreements during contract negotiations.

5.3 Technical Description

AWI can consolidate, integrate, and modernize its UC systems with the Deloitte uFACTS Solution Framework, which is based on more than 10 years of industry knowledge, design principles, leading practices, and successful implementations.

Deloitte has merged the best of its client-tested application architecture components from multiple, successful state UC modernization efforts into one comprehensive solution framework – The Deloitte Unemployment Framework for Automated Claim and Tax Services (uFACTS.)

As part of its project to reengineer and modernize its Unemployment Compensation (UC) system, Florida's Agency for Workforce Innovation (AWI) requires a state-of-the art solution that is Web-enabled and highly automated to improve operational efficiencies, that has the flexibility to add and modify functionality easily and quickly, and that will be able to easily support the increasing volumes of claimants the State of Florida anticipates. The Deloitte Unemployment Framework for Automated Claim and Tax Services (uFACTS) Solution Framework provides a best of breed solution, designed to meet your business needs and your technical requirements.

The uFACTS Solution Framework delivers a mature Service-Oriented Architecture (SOA) built within Microsoft's .NET platform that is flexible, scalable, and maintainable, providing the capacity for growth, the automation and Web-based user interfaces required to improve operations, and the ability to make rapid changes to accommodate new business rules and laws.

The combination of the uFACTS application architecture's core components and structure along with our extensive experience managing other successful UC implementations enables us to meet AWI's requirements.

The uFACTS Solution Framework:

- Allows secure Web-based self service for a large volume of claimant transactions, including initial and continued claims
- Allows employers and third-party representatives to access and provide information on demand within the UC benefits system
- Provides a business rules engine that is easily modified when federal policies or laws change
- Automates workflow for efficiency and cost savings for the State of Florida
- Accommodates high traffic volumes over the Internet
- Allows for quick code modifications by leveraging .NET-enabled, industry standard technology

We understand that Florida has many unique requirements, so we are not merely offering a turn-key or transfer solution from another state; our specialists will modify and customize the uFACTS Solution Framework to meet your specific needs.

Section 5.3 describes the general system architecture, the technical and functional components of our solution, and also explains why uFACTS is the best solution to meet the business and technical needs of AWI and the State of Florida.

5.3.1 General System Architecture

uFACTS Solution Framework Features

- .NET Web-based architecture
- Reusable Code
- Simplified Maintenance
- High Performance
- High Availability
- Scalability
- Security

"Even though uFACTS provides a baseline UI system, it has provided the flexibility to create a customized UI system that will meet the standard and unique needs of Massachusetts. The uFACTS framework in conjunction with Deloitte staff expertise and professionalism has allowed our subject matter experts to embrace the potential and efficiency of our forthcoming UI system."

Theresa DeMarco
DUA QUEST
UI Revenue Team Lead
Commonwealth of Massachusetts

Deloitte's uFACTS Solution Framework enables us to reduce project risk and quickly deliver a high-quality UC benefits system that is tantamount to a packaged software solution, yet is vastly more flexible. The uFACTS Solution Framework combines the convenience and security of a pre-built solution with the flexibility and functionality of a customized solution.

The Deloitte uFACTS Solution Framework is built on leading practices and recent experience across multiple UC modernization efforts over the last 10 years. Our National UI Practice has developed the expertise, methodology, and products to successfully support our UC clients' needs. uFACTS combines the convenience and security of a pre-built solution with the flexibility and functionality of a customized solution, and allows us to quickly deliver a flexible, high-quality UC benefits system with reduced project risk.

This highly flexible uFACTS Solution Framework meets Florida's unique UC Program requirements; it features an extensible system architecture that leverages AWI's current technology direction while providing a solid foundation to achieve AWI's long-term enterprise architecture and business goals.

The uFACTS Solution Framework is a component-based, multi-tiered (also known as N-tiered) application architecture in which the presentation, the application processing, and the data management are logically separate processes, with clear specifications for design and development that expedite the implementation process. Deloitte has successfully deployed the uFACTS Solution Framework on both the .NET and J2EE platforms for other states' UC modernization programs. ***We are proposing the uFACTS .NET version in order to achieve enterprise technology synergy between AWI's ELIS and UCCBIS projects.***

The uFACTS Knowledge Repository enables us to design and deliver a high-quality solution that fully supports AWI's unique business and statutory requirements. Our uFACTS design artifacts help us define and articulate business requirements for AWI, accelerate the design and development effort, and provide AWI a foundation for future UC program needs.

The uFACTS application architecture is extensible, flexible, and repeatable —providing AWI with lifecycle efficiency and cost-effectiveness. uFACTS provides:

- Core UC benefits functionality which maps 75% to your requirements, reducing customization time.
- A browser-based interface using leading Web development standards, based on the.NET Framework, which allows us to apply common skills across a variety of devices, application types, and programming tasks; to more easily integrate with other tools and technologies to build the right solution faster, and with less work.
- Telephony capabilities to support advanced and automated system access, anytime, from anywhere, while interacting with a database and business logic that are shared with Internet-based systems, to provide seamless interfaces for your internal and external users.
- A secure Web environment for online business.
- A robust business rules engine that supports change and simplified modification, to allow you to quickly accommodate changes in policies and laws.
- Automated workflow to eliminate your unwanted manual processes and improve the efficiency of your operations.
- Capability to integrate document management and imaging services for managing varied forms of content, reducing the manual handling of paper.
- Business Intelligence reporting features to support your standard off-peak queries, report customization, and ad hoc reporting — allowing your management team to

monitor workloads and key process metrics, while also complying with federal and state reporting requirements.

- Enterprise-level components that are used for internal uFACTS operations and can be extended to leverage business logic and information throughout the organization.
- Integrated database and data structure to help eliminate redundant and out- of-synch data across your organization.
- A scalable, open architecture that employs leading standards and techniques to promote the interoperability and maintainability of your system.
- Adaptable application architecture which allows you to easily upgrade and modify your application while minimizing down-time when state and federal policies change, or when your environment demands growth.

Deloitte's proposed solution is based on industry leading third-party software products, many of which are already familiar to AWI and in use elsewhere within the State.

The uFACTS Solution Framework is built using market leading technologies, many of which are already familiar to AWI, and which are described in more detail further in this section and attachment 5B. These technologies include:

- Microsoft .NET – Architecture Framework
- Microsoft Windows 2008 – Operating System
- Oracle 11g – Production and Operational Database
- Oracle 11g – Reporting Data Repository
- Oracle Policy Automation (OPA) – Business Rules Engine
- IBM FileNet P8 Business Process Manager – Business Process Workflow
- IBM FileNet P8 Content Manager – Imaging and Document Management
- HP Exstream – Correspondence Generation
- QAS Pro Web – Address Validation
- Genesys – IVR and Call Center
- SAP BusinessObjects – Business Intelligence

Deloitte has the skills and modern UC system implementation experience necessary to anticipate your challenges; tailor your applications for the most useful, cost-effective implementation; and to support your future growth.

Exhibit 5-57 reviews some of the benefits AWI can anticipate by choosing Deloitte's solution.

[redacted]

5.3.2 Technical Architecture

uFACTS Architecture Features

- Pre-Existing Code
- Pre-Configured Components
- Single Application Interface
- Reduced Maintenance
- Replaceable Components

The uFACTS Solution Framework is based on

- A component-based application architecture for easy development and maintenance
- A multi-tiered architecture for a flexible, scalable, secure and reliable solution

Component-based application architecture is the preferred method for providing a highly functional, customizable system for its users that is easier to develop and maintain.

AWI can reduce risk and expedite development with the uFACTS Solution Framework's repeatable architecture components, which function out of the box.

Deloitte's uFACTS Solution Framework and the experience of our team provide AWI with a jump-start in designing and developing the UCCBIS system to meet AWI's specific requirements more quickly.

The uFACTS technical architecture provides AWI with a complete and adaptable solution that is tailored to meet your needs. By integrating off-the-shelf components with custom-developed code, we save AWI the cost and time it takes to start development of a new system from scratch. In addition, we use pre-existing code whenever possible to minimize the inherent risk that comes with an unproven and untested, completely custom solution.

This section will describe the features and benefits of both the component-based aspects and the multi-tiered aspects of the uFACTS technical architecture, and will illustrate how it supports the objectives of the proposed UCCBIS. It will also demonstrate how and why the uFACTS Solution Framework expedites implementation and speeds the delivery of your advanced, robust UC system.

5.3.2.1 The uFACTS Component-Based Architecture

The uFACTS Solution Framework is based on industry standards to expedite development and leverage pre-existing code. It also eases the process of integrating new components to meet future needs, since by dividing the building blocks of the application into modules or subcomponents, you have a loosely coupled application that allows you to maintain or make changes to one area of the application without impacting another.

By assembling the uFACTS architecture from the functional business components and separating the business components from the underlying application architecture, each component can be altered or replaced independently.

This "building blocks" approach not only aids in simplifying changes as new advancements are made to the Microsoft .NET framework and COTS components, but also simplifies the understanding of the system in total by abstracting application architecture concerns from the functional business components, defined business rules, and data providers.

The uFACTS Solution Framework uses enterprise components which, besides being used by uFACTS, can be extended to act as a business logic and knowledge repository for the entire enterprise. These components are from top-tier solution providers and are language and product-neutral, furthering your return on your systems investment.

This architecture is supported by a set of components and tools that greatly enhance the productivity of software developers. These tools include a template-driven code generator that relieves developers of routine programming tasks, allowing them to focus their time on implementing business logic rather than utility functions within the application.

Repeatable Components Provide System-level Functions Out of the Box

The uFACTS Solution Framework also boosts development productivity by providing a number of key system-level functions **out of the box**, including:

- **Role-based security.** As described in detail on the following pages, the uFACTS Solution Framework can integrate with any LDAP-compliant directory server to provide authentication services and fine-grained authorization checks.
- **Event logging/history.** The ability to log business transactions and other events that occur within the system, as well as an audit history of changes made to specific data records.

- **User interface components.** Developers can leverage streamlined capabilities in areas such as paging/sorting of search results, visual cues for user input validations, and translation of database values to user-friendly descriptions.
- **Batch processing.** A multi-threaded batch framework allows high-volume processing management across multiple application servers simultaneously, while preventing concurrent online transactions from conflicting with batch processing.
- **Payment processing.** Built-in support for ACH file formats and other payment processing standards.

[redacted]

5.3.2.2 The uFACTS Multi-Tiered Architecture

The uFACTS multi-tiered application architecture is scalable and portable, minimizing downtime and increasing system reliability; moreover, it is designed to yield high returns on your UC system investment.

In addition to being a component-based architecture, uFACTS is also a multi-tiered solution. This architecture method partitions the application into distinct layers with discrete functionality in each layer, or tier, and includes well-defined interfaces between the tiers.

A multi-tiered approach enables us to isolate unique service components and system code so developers can easily locate specific business or technical logic, make necessary modifications to it, augment it, or eliminate it as your system requires — during development or in the future. And it allows this functionality without impacting the entire system. The uFACTS Solution Framework, therefore, provides a highly available system to AWI and each user group.

The uFACTS multi-tiered approach is designed to yield high returns on your investment in a new UC system. It enables easy scalability and portability, reducing downtime later and giving you a more reliable system throughout the lifecycle of your application. Furthermore, a multi-tiered architecture can help us to leverage your existing technology and tools in cases where reuse is desirable and technically feasible.

[redacted]

In the following sub-sections, we introduce the four tiers – the Presentation Tier, the Service Tier, the Integration Tier, and the Information Tier – and describe how their features and software components will help achieve project objectives.

5.3.2.3 The Four Tiers of uFACTS Application Architecture

The uFACTS multi-tiered application architecture consists of the following four tiers:

1. **Presentation Tier.** The Web-based user interface application layer
2. **Service Tier.** Combines business processes and business logic to support the functional capabilities of the system
3. **Integration Tier.** Supports communication with internal and external systems, agencies, and business partners to core business logic through multiple approaches including Web services
4. **Information Tier.** Enables access to UC data repositories and manages availability, security, and recoverability of data

The multi-tiered approach distributes the application in parts across the system. In Deloitte's highly structured multi-tiered approach, each tier is designed with clearly defined interfaces and supported by the right specifications and leading practices.

See the following figure for a diagram of the logical layers of the uFACTS Solution Framework.

Deloitte can design and deliver a quality solution faster for AWI with lower risk than our competition. Our uFACTS-based solution mitigates quality and schedule risk. This client-tested framework and its artifacts, along with its knowledge repository, enhances and speeds UCCBIS design and development.

[redacted]

[redacted]

5.3.2.4 The uFACTS Presentation Tier

uFACTS Presentation Tier Features

- Consistent User Interface for Internal and External Audiences
- Simple Desktop Configuration
- Single Sign-On

[redacted]

[redacted]

Overview of the Presentation Tier

Key Presentation Tier Components

- Web Browser
- Web Server
- Secure Socket Layer (SSL)

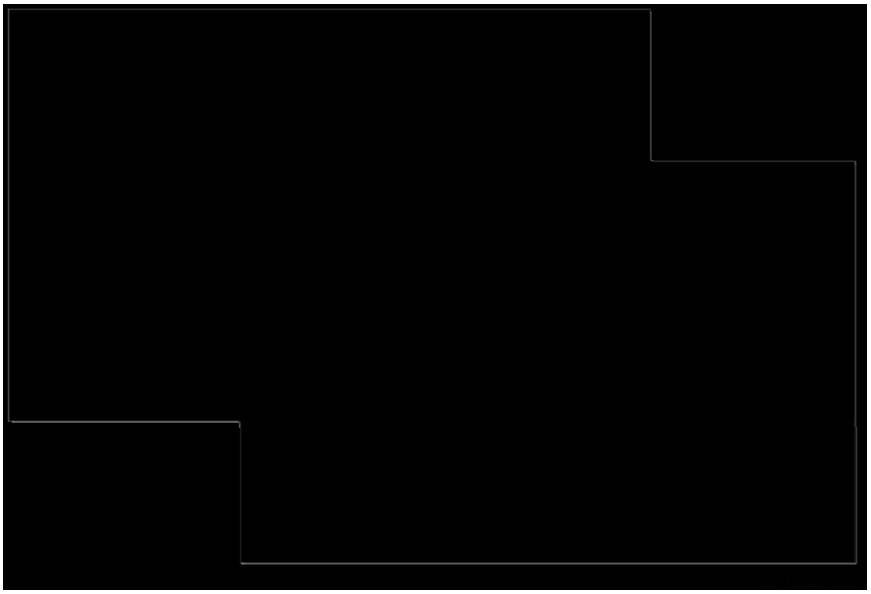
The Presentation Tier is designed to allow users to connect to the system via a browser, phone line, or mobile device without access to the core application residing in the Service Tier. It is separated from the Service Tier and sensitive data throughout the system.

Isolating components within the Presentation Tier from other layers in the application, such as the Service Tier, allows you to reuse the components and make modifications to the front-end of your system without impacting the core business logic of your application. Therefore, the Presentation Tier is flexible enough to allow you to enhance your user interface without extensive changes to the back-end. For the Web channel, the appearance of the system is generated on a Web server (server side) and rendered as HTML to the browser or desktop.

Common Interface Provides Consistency for Users

Presentation Tier modifications are easy to make. When the look and feel of your interface needs to change, alterations can be made without expensive technology and skills sets.

A common user interface increases adaptability and ease of use for both internal and external users across multiple user groups. The HTML-based Presentation Tier Web interface, made up of style sheets and graphics, can be easily modified without any changes to the application itself. See *Exhibit 5-62* for an example of our customizable interface, which illustrates an Agent desktop.



The Presentation Tier consists of an HTML Web interface designed with style-sheet templates and graphics that make it easy to modify. A description of the Presentation Tier's security components is also included in this section including:

- User Authentication
- Authorization/Data Access
- Secure Sockets Layer Technology

Isolating components within the Presentation Tier from other layers in the application, such as the Service Tier, allows you to reuse the components and make modifications to the front-end of your system without impacting the core business logic of your application. Therefore, the Presentation Tier is flexible enough to allow you to enhance your user interface without extensive changes to the back-end. For the Web channel, the appearance of the system is generated on a Web server (server side) and rendered as HTML to the browser or desktop.

Based on your specific requirements, the presentation tier can be divided into two facets. The first can be geared toward staff access and input through an intranet, while the other can be geared toward claimant, employer, and third-party representative access through the Internet. Additionally, based on the requirements of the implementation, the uFACTS .NET Solution Framework allows for further dividing into finer granularity.

Customizable Security Options Meet Your Unique Security Needs

While uFACTS is a highly available system, the standard features also provide the foundation for consistent system security and were chosen to make uFACTS a highly secure system. The Presentation Tier also helps us block access to sensitive information in the system by providing a front-end that is separate from your business logic.

Florida's UC business not only involves managing highly sensitive wage data, identity data, and other confidential information in a high-volume, ever-changing environment,

but also the core UC application must be fully integrated across agencies, and with external partners and employers, as presented in *Exhibit 5-63*.

Security is a Key Component of the uFACTS Solution

Deloitte's intra-application security model was leveraged by the State of Minnesota and the Commonwealth of Massachusetts. Our methods and objects assist developers in constructing application security components in reading tags present on every Web page.

The tags provide user permissions to screens in the system. For example, with viewer access only, a user would not see buttons such as "delete" or "save" because they would not have permission to perform those functions with view-only access.

To enable you to do business in this new environment, the Presentation Tier assists in managing secure access with various features, such as an LDAP server using Secure Sockets Layer (SSL) technology. Thus, while custom features are added or modified depending on your existing infrastructure, uFACTS standard capabilities include:

- **User Authentication.** Authentication is always performed in conjunction with an industry-standard LDAP server.
- **Role-Based Security Model.** Permissions for a given user are defined by that user's role, allowing the system to restrict the retrieval and dissemination of information appropriately.
- **Single Sign-On.** Users are authenticated one time and maintain their security credentials throughout their session, even while accessing other enterprise resources.
- **Authorization/Data Access.** Access is governed by specific rules on the LDAP server. Once a user is allowed access to the system via the LDAP server, only the data for which the user is authorized becomes available. The LDAP server coordinates the security rules for application access and also coordinates security rules for other components, such as IBM FileNet P8. The uFACTS Solution Framework can be configured with rules to manage user passwords consistent with AWI guidelines.

  Users must go through the LDAP server to provide access limitations and availability according to permissions programmed into the application logic. Restricting data access through the application to authorized users prevents use of ad hoc data access tools to breach the sensitive Information Tier, thereby reducing the risk of malicious attacks on data by hackers.
- **Secure Sockets Layer Technology.** The information transferred across the Presentation Tier is SSL encrypted to protect sensitive data from being viewed as it is transmitted via the Internet, including Web interfaces implemented via HTTPS and incoming file transfers implemented via secure FTP. In addition, through the use of hardware SSL compression, system performance can be maintained even with the addition of these greater security measures.
- **Data Element Encryption.** The uFACTS solution allows encryption of data elements internally in the database to secure sensitive data. Deloitte will work with AWI to determine the proper level of encryption on an element-by-element basis. This allows the sensitive elements of AWI's system to be encrypted while non-critical elements are not affected.

We will work with AWI to implement a role-based security model that meets your needs and is customized to the roles defined for read, write, and view access privileges to each component of your system. Therefore, the only actionable options presented to the user's desktop are those the user is authorized to perform.

[redacted]

Summary of uFACTS Presentation Tier Benefits

[redacted]

[redacted]

[redacted]

5.3.2.5 The uFACTS Service Tier

uFACTS Service Tier Features

- Quick construction of logical groupings of content, components, and configuration of application
- Helps automate the deployment of applications
- Software scaling with clustering tools
- Rules Engine-based processing of complex business logic

Overview of the Service Tier

The Service Tier is where the system processes your complex business logic and where changing business rules are easily modified, augmented, or eliminated. It encompasses specific UC business capabilities and manages complex processing for the system, delivering core benefits services and the various uFACTS components that make the application a strategic solution, geared to meet your users' needs while streamlining operations for the State of Florida.

The Service Tier runs on advanced integration technologies and includes automated workflow components, document management, and imaging capabilities that work seamlessly across the system. The Service Tier is designed for change and flexibility and provides added functionality that drives automation across the system using SOA principles. In addition, it includes business logic and a robust business rules engine for common decision making across the solution.

The Service Tier is based on AWI's business model and is composed of multiple application servers dedicated to processing data and core benefits services, such as monetary calculations, eligibility determination, and appeals. The core UC services we deliver are customizable to meet your unique requirements and business processes.

Key Service Tier Components

- Business Components
- SOA Services
- Business Rules Engine
- Address Validation

Business Components Provide Reusable Logic

uFACTS enables the decomposition of a UC business function into a set of business objects. (For example, a claimant object has data such as a name, date of birth, and so on. It also has methods or actions, such as changing a claimant's address.) The Service Tier encompasses a number of discrete business objects, each representing a single, isolated business function. The entire collection of business objects becomes the model for AWI's UI business, and the objects are managed and executed on a .NET-enabled application server.

Deloitte's Playbook methodology helps to verify that the defined business objects satisfy AWI's specific business requirements. (Please refer to *Section 5.2* of this proposal for more detail on Deloitte's Playbook methodology.)

Technology that Delivers Enterprise-Class Solutions

ASP.NET technology has been tested and demonstrated as successful in our UC implementations where mature software and standards are the backbone of our solutions. This technology is commonly recommended when delivering dynamic, enterprise-class solutions that require the application capabilities discussed in the following paragraphs – managed application access, robust transaction management, and simplified application management.

Managed Application Access

The business functionality encapsulated in a single component must be available to multiple users via a request from the Presentation Tier and to other systems via a request from the Integration Tier.

The Presentation Tier application and Integration Tier application have to each manage their own set of inventory and execution system components. The application server simplifies access by ensuring an ASP.NET component is instantiated and continues executing until the request context is complete. (This is the same way a mainframe transaction processing environment serves transactions.)

Robust Transaction Management

The application server also provides robust interactions with enterprise databases and other applications. This feature provides transactional integrity to group multiple updates into a single unit of work — even when updates span multiple back-end systems.

When the transaction is completed successfully, the application server triggers an update to each of the back-end systems. In the event of a failure anywhere within the unit of work, the updates are backed out. The transaction management capability of the application server is vital to maintain data integrity within the system.

Simplified Application Management

The .NET application server tools assist developers and administrators in deploying applications quickly and easily. It requires minimal skill and technical knowledge to use the tools, thereby reducing the cost and complexity of scaling the application. Thus, you receive a highly scalable, highly available application.

A Business Rules Engine Designed for Change

The uFACTS Solution Framework delivers a business rules engine built with the proven capabilities inherent in the Oracle Policy Automation family of products.

AWI requires a rules-driven approach and a flexible business rules engine that is responsive to the rapid changes in UC programs. For example, as reemployment services identification and program eligibility criteria continue to impact business rules, you will need a rules engine that provides the ability to more easily and quickly maintain changing business rules than traditional methods can handle.

Deloitte proposes Oracle Policy Automation (OPA) for the execution and maintenance of business rules. Our rules-driven approach refines the process of developing and maintaining business logic, bringing information technology into closer alignment with business, and increasing the responsiveness of technology to business needs. uFACTS employs an industry-leading rules engine to create and manage business rules in a language that business users can easily understand coupled with tools that speed the software development and change process.

Some major benefits AWI will realize from our rules-driven approach are:

The flexibility of a rules-driven approach enables the State to swiftly respond to changes in law or to incorporate new internal policies into the business rules of your core systems.

- **Requirements are communicated more clearly.** In traditional development approaches, the translation of system requirements from the language of the business to the language of the developer is time consuming and prone to error. A rule-driven approach provides a shared language between business and IT that can help save time and rework.
- **Rules are visible to the business.** Rules are represented in a language that makes sense to users. As a result, your staff has a better understanding of the system and the decisions it makes — an understanding that helps them to better serve their customers. Rule visibility also means that IT spends less time digging into code to answer questions for the users.
- **Rules are more easily changed.** The visibility of existing rules also eases the software change process. By knowing how the system currently behaves, the agency can more readily evaluate the impacts of proposed changes and make decisions on which changes are desired. Furthermore, the use of a rule language and rule repository makes it easier to specify the desired changes, locate the applicable rules, and perform the necessary modifications.
- **Rules are reusable.** Appropriate reuse of software components is a must for modern systems development practices. The separation of business rules into a separate rule repository promotes reuse by treating business logic as a manageable enterprise resource.

Our rule-driven approach refines the process of developing and maintaining business logic to bring information technology into closer alignment with business, and to increase the responsiveness of technology to the Agency's business needs.

The business rules engine allows the capture of clear business rules that define operating parameters, centrally and in business terms, as opposed to programming language, thus making it configurable and manageable long after we complete the project.

The business rules engine isolates business rules from application logic and stores rules in a separate rules repository, where specialized tools help you maintain the rules. In addition, it is easily administered and allows for quick response to changes in business logic, creation of rule sets based on effective dates, and the ability to augment rule sets and change rule parameters.

There are many examples in the UC domain where frequent change to complex business rules must be accommodated. When implementing uFACTS for AWI, Deloitte will work closely with you to identify areas most suitable for using business rules. Factors considered include:

- Frequency and nature of rule changes
- Complexity of business logic (to realize the benefits of a shared language between IT and business)
- Transaction volume/performance considerations
- The need for transparency to business users of underlying business logic

Business Rules are more Readily Maintained with OPA

Deloitte has successfully implemented a rules-driven approach for the State of Minnesota UI program.

OPA provides a complete, comprehensive suite of products to maintain policies and rules for the organization. OPA allows system administrators and users to author rules in plain English that are understandable and easy to maintain using tools that AWI's users already understand. Oracle Policy Automation allows non-developers to modify and create rules using Microsoft Word; this allows users to work in a familiar tool and minimizes training on a new rules engine for business analysts.

Summary of uFACTS Service Tier Benefits

A summary of the key features and benefits of the Service Tier is shown in *Exhibit 5-66* below.

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5.3.2.6 The uFACTS Integration Tier

[redacted]

[redacted]

Key Integration Tier Components:

- Legacy Integration
- Workflow Services Component
- Document Management and Imaging Component
- Correspondence Generation
- Telephony Integration

Overview of the Integration Tier

The Integration Tier allows interoperability across products and system components without the need to deploy custom software. This Tier consists of components that allow your new system to interoperate with business partners, legacy systems, IVR systems, and external systems at other agencies as shown in *Exhibit 5-67*. Interoperability is the integration of products and systems without custom products or software, and allows for integration between systems in a straightforward and well-supported fashion.

The Integration Tier includes integration logic, automated workflow, imaging and document generation/management features, reporting components, and telephony architecture designed to easily isolate and manipulate as your activity changes and grows.

Deloitte's emphasis on standards-based interoperability is evident in our approach to integrating third-party products within the uFACTS Solution Framework as well other agency systems such as workforce systems and SUNTAX.

Open Standard Adherence Provides Successful Legacy Integration

Regardless of the integration strategy, it is imperative that system-to-system integration is based upon open standards to provide interoperability with the enterprise today and in the future. Transport protocols, wherever possible, are based upon SOAP, UDDI, and other Web Service standards. Data interfaces use XML formats and standard data types. Our selection of software components to implement our integration techniques prioritizes the need to conform to open standards.

The Integration Tier provides interoperability across the enterprise by selecting leading software components that support existing "open" transport and data standards.

Automated Workflow Eliminates Unwanted Manual Processes and Improves Productivity

To streamline and establish cost-saving efficiency, AWI requires automation that optimizes your business processes. The uFACTS Solution Framework includes workflow services to provide flexible and scalable process automation for complex businesses where millions of transactions, thousands of users, and multiple business applications are standard. Workflow components shorten processing lifecycles and automatically manage process exceptions so AWI can react to internal events or customer demands immediately.

A truly integrated solution, uFACTS brings more than just UC Benefits services—it provides a comprehensive system that streamlines business processes, enhances communications, and makes services more accessible and user friendly.

Our powerful, yet easy-to-deploy workflow automation allows business analysts to modify processes quickly when new business rules trigger changes. The workflow component enables you to capture leading practices and business logic for reuse, thereby shortening implementation timeframes.

The uFACTS Solution Framework provides for a rules-based mechanism allowing managers to distribute workflows generated either on a skill-based routing matrix or a workload based routing decision tree. Additionally, managers with assigned rights can override workflow distribution to manually dispense work to individual users as needed.

Workflow components also monitor and track business processes, allowing managers to monitor business operations and staff performance. This further enables management to optimize processes, along with the time and capabilities of staff and internal resources.

By integrating content with business processes, all levels of AWI's organization can make timely decisions based on the most accurate information available.

Online systems insert users into the workflow. For example, employers can now review claim-related issues online and provide appropriate responses without continuous staff

review. This reduces the time it takes to adjudicate issues and compresses cycle times significantly.

Workflow services capabilities deliver significant return on investment to our customers. Benefits realized by automated workflow users include:

- Improved productivity
- Decreased decision cycle times
- Optimized reallocation of staffing as a result of automation and self-services capabilities
- Increased savings by delivering high-performance processes and optimizing efficiency throughout your organization

Document Management and Imaging Transforms Non-structured Data for Forms and Reports

One of our uFACTS customers recently achieved nearly $1 million in annual savings as they moved from all paper checks to the electronic received-date model. Savings were realized through increased cash flow, a reduction in temporary staff usually needed to process large volumes, and reduced data entry error rates.

Deloitte's solution provides a document management and workflow architecture that is flexible, scalable, and maintainable. It is designed to meet your business needs, and provides for efficient growth down the road as well as seamless integration with Microsoft's .NET platform.

The various forms of non-structured data stored by the document management and imaging component of the application architecture include:

- Archived unemployment insurance claims
- Outbound claimant correspondence (e.g., Determinations, Fact-finding)
- Permanent and archived copies of paper submissions from claimants (e.g., documentation of wages)

AWI can choose how to format the information in the system as forms and other types of files, such as Desktop Office application documents, photos, voice, and images. We will work with you to define these formats.

The proposed uFACTS Solution Framework's architecture for document management and workflow will utilize:

- IBM FileNet P8 Content Manager to manage all forms of content in a central repository after the proposed system goes live
- IBM FileNet P8 Business Process Manager to provide workflow functionality after the proposed system goes live
- IBM FileNet P8 Records Manager to meet compliance and audit requirements of electronic content and non-electronic content
- IBM FileNet P8 Capture Professional for providing the scanning functionality — this product integrates with the IBM FileNet Content Manager to directly store scanned documents into content repository
- OpenText RightFax server for providing inbound and outbound fax capabilities; using a connector that is provided by OpenText, the RightFax server will be integrated with the IBM FileNet Capture Professional to allow users to use a single interface to process scanned and faxed documents
- Four Kodak i620 scanners at central location(s) to perform high volume scanning of documents; and seven Kodak i1405 scanners at remote locations/field offices to perform moderate to low volume scanning of documents
- 16 fax lines will be integrated with OpenText RightFax server to handle inbound fax documents

Document repository and imaging components lie within the core of the IBM FileNet P8 to capture, manage, and store content. Multiple repositories are created and managed within IBM FileNet P8 to match specific physical configuration requirements.

The uFACTS application architecture is designed to manage storage of non-structured data, such as correspondence to and from claimants and employers. An IBM FileNet P8 repository is capable of storing a variety of business-related data, including voice and imaging content; other application services use the IBM FileNet P8 when these capabilities are required.

The uFACTS Solution Framework was one of three finalists for the International Innovation in Government Award from FileNet:

"The IBM FileNet Innovation Awards are designed to recognize and honor IBM FileNet customers across numerous industries that have created the best and most innovative applications or solutions using IBM FileNet products. These awards have become a valued and popular competition among the thousands of IBM FileNet customers and ValueNet partners worldwide."

Advantages of IBM FileNet for Document Management and Workflow

AWI can benefit from seamless access to content and workflow management functionalities with our proposed solution. IBM FileNet P8 Content Manager and Business Process Manager are integrated with the uFACTS Solution Framework using IBM FileNet provided APIs and Web services to provide document management and workflow functionality. With this approach, users will be able to access documents and workflows by logging into the same Web interface provided by uFACTS using a single set of login credentials.

Deloitte is experienced in implementing content management/workflow software both within and outside of Unemployment Compensation — and drawing upon our experience and familiarity with available content management/workflow products, as well as our expertise in UC modernization and knowledge of AWI requirements, we believe that the IBM FileNet P8 suite features and metrics far outweigh the features and metrics offered by the existing system at AWI and other alternatives available in the marketplace. In formulating our recommended content management/workflow solution, we have also noted that AWI's existing system would not be able to support some of the integration requirements specified by AWI in Attachment Q. The following are some key differentiators of the IBM FileNet P8 Suite that is pre-integrated with the uFACTS Solution:

- IBM FileNet P8's integrated and comprehensive content and records management capabilities combined with its comprehensive business process management (BPM) solution has the strongest current offering in support of content needs. This allows for future expansion to provide additional features and functionality to the proposed system using components from the same vendor that easily integrate with each other and additionally provide out-of-the box features that expose these integrated capabilities.
- IBM FileNet P8 supports an N-tier architecture and provides load balancing capabilities without any third-party products. This allows for building a truly scalable and load-balanced architecture to support a fault-tolerant system.
- IBM FileNet P8 provides a comprehensive architecture in support of enterprise deployments. IBM FileNet P8 is based on SOA with broad operating system, relational database, application server, and storage platform support. The suite provides a comprehensive extensibility model with development and integration tools to all components of the suite.
- IBM FileNet P8 provides support for leading RDBMS systems including Microsoft SQL, Oracle and IBM DB2. For AWI's UCCBIS system, the IBM FileNet P8 product suite will use the same Oracle RDBMS system that will be used for the uFACTS-based application.
- In recently published benchmarks IBM FileNet P8 demonstrated the capability to store two billion objects and can support 735,000 transactions per hour without degrading

uFACTS provides efficient document management and workflow services for UC programs.

In Minnesota:

- 5.5 million documents were converted prior to implementation
- 12.5 million UC tax and benefits documents added each year
- 870,000 UC tax and benefits workflows each year

performance. This provides for a content management solution that will allow for future growth and expansion.

- IBM FileNet P8 has strong compound document support and the individual components of the compound documents can be easily managed and versioned.
- IBM FileNet P8 supports content federation services that deliver the ability to actively manage content across the enterprise in multiple disparate repositories. It supports federated search, federated records management, and federated business process management functions. This feature allows the content management solution to be integrated with content repositories from different product vendors, making the solution flexible and scalable.
- IBM FileNet P8 provides a robust set of Web Services APIs that enable the development of a SOA based application architecture. Additionally, the IBM FileNet P8 Business Process management (BPM) product provides out of the box capabilities to call external Web Services within the organization or external to the organization, thus providing a platform for developing a true SOA based integrated architecture for managing content and workflow. Our proposed solution uses.NET APIs and Web services to integrate content and workflow management within the uFACTS Solution Framework.

Based on these factors and FileNet's specific fit with the goals and objectives of AWI's modernization effort, we believe that IBM FileNet P8 suite is the right choice for the UCCBIS system's workflow and content management needs. We have provided a solution that leverages AWI towards the future on an industry-leading workflow and content management platform.

Template-based Correspondence Improves User Efficiency

The uFACTS Solution Framework is built around the concept of template-driven correspondence. This template approach allows for the creation and maintenance of correspondence and forms by business users, instead of requiring development by programmers. Pushing the ownership and maintenance responsibilities to the business users allows for faster template creation and more consistency of boilerplate wording/styles throughout AWI.

In addition to maintaining wording and style of the templates, uFACTS allows business users a clear understanding and use of sets of logic tags that access business data and logic from within the template. Using these tags speeds the creation and modification effort while maintaining consistent data formatting and use throughout the application, reports, and correspondence templates.

A correspondence template in the uFACTS Solution Framework determines the basic structure of the correspondence, prepares the correspondence with the appropriate details, and is then ready for completion by the user.

A correspondence service manages the interaction between a user and/or a batch program and the process for populating the data required to generate the correspondence based on a particular template. It also interacts with the spell checking software to provide spell-checking functionality for correspondence created online.

This service generates various output formats including PDF, PCL, HTML, and XML. The service also manages the merging of related correspondence to provide savings and efficiencies in the mailing process, including the ability to group documents with a common recipient for inclusion in one envelope.

In addition, this service archives correspondence along with its associated metadata to the IBM FileNet P8 content management store.

The uFACTS Solution Framework provides immediate functionality to convert an online generated correspondence for online viewing and for long-term storage using a format that is widely accepted for distribution, namely PDF. Since the letter writing subsystem needs to generate a huge volume of correspondence, speed and performance, in addition to user-friendly editing facilities, need to be taken into consideration when choosing the right tools to generate the correspondence.

The uFACTS Solution Framework will leverage the HP Exstream product to satisfy the correspondence requirements of AWI.

Integrated Telephony Systems Offer Flexible Options for Claimants

While the Web may be the most efficient and economical method of interacting with uFACTS, the telephone is preferred by many users for simple transactions due to its accessibility from any location. Phone lines connected to an interactive voice response (IVR) system provide an interface to uFACTS that complements the standard visual/Web interface.

By dialing into the system from any phone, callers will be presented with menus of options, question-and-answer dialogs, account information, and access to the call center representatives. Callers may respond by entering touchtone digits or voice commands, mimicking the entries that would be required on Web screens. uFACTS processing "behind the scenes" is virtually identical, providing a consistent set of database access methods and business rules for each user regardless of the service delivery channel used.

Computer Telephony Integration (CTI) Solution

Deloitte proposes a custom, state-of-the-art CTI solution, including the development of an agent softphone, desktop tools for agent-to-agent and supervisor-to-agent communication, and contact center statistics displays.

The overall solution that Deloitte is proposing to AWI includes a CTI solution that leverages the software interfaces provided by Genesys, a leader in IVR and computer-telephony integration (CTI) technologies. Deloitte proposes to develop a custom agent softphone to provide state-of-the-art CTI functionality for AWI agents and supervisors. A softphone toolbar integrates frequently-used telephony controls on the agent's computer screen. This feature improves agent efficiency eliminating the hard phone interface and placing all functions needed to serve customers in a single location.

In addition to the custom development of an agent softphone, Deloitte will develop desktop tools for agent-to-agent and supervisor-to-agent communication, as well as contact center statistics displays. Our CTI approach will utilize the Genesys .NET Agent Desktop Software Development Kit (SDK), the Genesys Statistics SDK, and the Genesys Configuration SDK. The .NET Agent Desktop SDK will provide exposure to agent and supervisor call handling functions. The Genesys Statistics SDK will provide the interface to display contact center statistics, and the Configuration SDK allows Deloitte to leverage the Genesys configuration database for agent and supervisor information.

The experience and expertise of Deloitte in developing integrated systems with multiple self-service delivery channels (i.e., Web and IVR) will enable AWI to integrate the right technologies to improve service to claimants and increase efficiency. This combined with the power of Genesys Skills-Based Routing and CTI tools will deliver a powerful and cohesive unified call distribution solution for AWI.

[redacted]

CTI Functionality

Deloitte is proposing CTI functionality that enhances the capabilities of AWI call center throughout the lifecycle of inbound and outbound calls. The CTI functionality we propose consists of the following:

Custom Softphone. With the custom-developed softphone, agents and supervisors will have the ability to log on and off of the telephone, transfer data/voice calls, make outbound calls, auto-dial, hold callers, and conference in third parties — from their workstation. The following features will be supported by the custom softphone:

- **Dialing** – Agents have the ability to manually or automatically dial a phone number through their PC. Agents also have the ability to auto dial.
- **Call transferring** – Agents can transfer calls to another agent, group, or back to the IVR.
- **Log in/Log out** – Inbound and outbound agents can connect or disconnect to Genesys via their PC.
- **Messages** – Agents can check their voice mail messages from their workstation.
- **Conference calling** – Agents can connect calls with another agent or supervisor.
- **Call hold** – Agents have the ability to place callers on hold.
- **Screen pop on call transfer** – Agents can transfer calls along with call data (screen pop of customers' information) to the next agent, including call transfers to agents with different skills (directly or through the virtual queues).

Call Control. Genesys' Universal Routing Sever (URS) can route contacts to route calls to agents based on AWI predefined criteria, including but not limited to time of day, day of week, the caller's number, the caller's dialed number, caller profile, agent skills, site load, and/or customer real-time information collected by GVP.

Call Tracking. This feature enables AWI call centers to capture the data pertaining to a call, including the call time, the customer name, the SSN/account number, the phone number the customer called from, the customer selections in the GVP, the agent who handled the call, and the call wrap-up information. This information can be used to help route and complete the call, and for reporting purposes.

Screen Pops. After an agent has been identified to handle the call (via the business-defined call control routing rules described above), the Genesys framework delivers collected information in the form of attached data (key value pair) to the AWI agent UC desktop. The selected call data will be automatically displayed or "popped" to the agent's desktop, providing the agent with key attributes of the arriving call. This information will include, but is not limited to, the customer's name, SSN/account number, phone number, call reason, and any preliminary account information required to greet the customer.

Call Reporting. CTI integration will feed reports with collaboration of information from the telephony statistics and collected data resulting from the call. Agents will be supplied with current Key Performance Indicators (KPIs) that allow agents to understand current call center work load.

Genesys and uFACTS

The open architecture and flexible design of the uFACTS Solution Framework allows seamless integration with the Genesys Voice Portal (GVP) and Genesys Routing Solution. This tightly integrated suite of hardware and software has four basic features:

- Utilizes IVR as a voice "front end" for claimants who prefer phone calls to Web sessions
- Relies on the uFACTS business rules to orchestrate IVR call flow so users are provided the same experience regardless of the self-service delivery channel used.
- Allows uFACTS to process data received from voice and Web channels in the same way
- Enables CTI messaging for screen pops, call routing, and real-time and historical reporting

In the Genesys implementation of IVR, call flow is directed by VoiceXML pages that are interpreted by a Voice Browser. Calls are routed to agents within the call center by the Genesys Universal Routing Server (URS) based on data collected, caller activities, and/or profile data gathered from the uFACTS Solution Framework.

uFACTS/Genesys Conceptual Process Architecture

The proposed GVP/uFACTS integration complies with IVR/call center requirements identified in the ITN. In *Exhibit 5-69*, we depict how uFACTS and Genesys interact to process an inbound call from a claimant.

uFACTS/Genesys Conceptual Process Sequence

[redacted]

The event sequence diagram in *Exhibit 5-69* provides additional detail on how components of the uFACTS/Genesys solution will interact to serve claimants. In addition to the voice gateways and GVP IVR, components shown here include the Genesys Universal Routing Server (URS), used to route calls based on business rules and data from uFACTS and its database, and Genesys T-Server, the interface to new and existing telephony systems.

Summary of uFACTS Integration Tier Benefits

The key features of the Integration Tier are summarized in *Exhibit 5-70* below.

[redacted]

Additional information regarding the software components included in the integration tier is included in Appendix 5-B – uFACTS Technical Architecture Software Component Details.

5.3.2.7 The uFACTS Information Tier

uFACTS Information Tier Features

- A database-neutral solution that leverages your existing Oracle investment.
- Business Intelligence capabilities for robust reporting and analysis using SAP Business Objects.

[redacted]

[redacted]

Overview of the Information Tier

Key Information Tier Components:

- Operation Database (Oracle)
- Reporting Database (Oracle)
- Business Intelligence
- (SAP Business Objects)

The Information Tier (Database Layer) is the back-end of your system where the application stores the data, and along with the overall application, provides for the data integrity of your new system. The uFACTS Solution Framework is database neutral; all data read and writes are handled through ADO/ODBC connectors available for all major RDBMs providers, thereby protecting your existing investment in database technologies.

The Information Tier provides a database-neutral solution to allow for your existing database technologies to function with your new system. We have selected the use of the Oracle 11g database to meet the needs expressed in your requirements.

To preserve the integrity of data within the Information Tier, the uFACTS Solution Framework promotes the concept of allowing database updates only through the business application where appropriate edits and security validations can be applied. This application-level security prevents data corruption that might result from ad hoc data updates and provides added security against external threats:

- A **Structured Data Repository** for tracking specific data related to objects in the system, such as initial and continued claims processing
- A **Reporting Data Repository** where standard, automated reports can run in off-peak times to off-load the system and optimize performance during peak business hours
- A robust set of tools for **Business Intelligence, Fraud Detection, and Data Mining**

Our solution offers a high-performance database that tracks structured data pertaining to all key objects within the system, such as claimants, issues, and payments. Oracle 11g enables the database platform to meet your performance, scalability, and availability requirements.

Data Modeling and Design Maximizes ROI

From our past enterprise-level system integration successes, we have established a proven, disciplined approach to data modeling and database design. We understand that the heart of a data management philosophy begins with careful data modeling during the project analysis and design phases.

Core to our uFACTS Solution Framework is a single, integrated data model that reflects business entities in third-normal form. Wherever possible, the physical database design mirrors the data model to maximize the reuse of data, storing any piece of non-key data once — and only once. This careful attention to data analysis and database design is the first step in establishing and maintaining data integrity, which not only improves your ability to accurately calculate and report on UC benefits—it also gives your users confidence in the system and the results it produces.

Data Security Protects Data Integrity

The uFACTS Solution Framework is designed to protect the confidentiality of UC claimant data

Another key aspect of data integrity is database security. We propose limiting access to the operational data repository to only the application environment. That is, no individual user should have authorization to connect to the database directly. The only database connections should come from authorized application programs. This provides the following advantages:

- Modifications (inserts, updates, deletes) to the data are governed by the business rules encoded in the application logic. An individual user should never be permitted to directly access the database for update purposes with a free-form database utility or ad hoc reporting tool.
- Queries against the database are well formed and thoroughly tested. A poorly coded database query can consume extraordinary resources (CPU, memory) and impact other users of the system. We propose a separate, isolated data query environment (more detail about this is provided on the following paragraphs) to provide query access only for authorized users. Only in very rare cases should it be necessary for a user to query directly against the operational database.

Each system data element will be evaluated by Deloitte and AWI to assess security risk. High-security items will be encrypted internally into the database to prevent unauthorized access/viewing.

Reporting Data Repository Makes Data Accessible and Actionable

We recognize the importance of extracting business intelligence from the data that resides within the AWI database. Data is a fundamental asset of any organization, but for data to be of real value it must be accessible in a relevant, actionable form and in a timely fashion. The evolution of data processing has often been centered on improving data access. Current “business intelligence” technology provides consumers with direct access to enterprise data via powerful end-user reporting, query, and analytic tools. However, the demands of this query-based and analytic data access are often at odds with the demands of a high-availability, high-throughput transaction-based line-of-business system. The cost of executing complex, ad hoc queries and returning large amounts of data can be significant. Therefore, we have proposed two distinct strategies for providing a robust data reporting environment: separation of data and transformation of data.

Separation of Data Reduces System Downtime

We propose a duplicated database environment, which permits each environment to be tuned to balance the hardware resources (such as memory, sort disk space, processor priority) to match the respective workload. Because of the different demands of transaction versus query-based workloads, it is a common strategy to create a separate, mirrored data environment. The query data represents a point-in-time view of the live production data. While strict data concurrency is lost, the refresh of the query environment is generally frequent enough (e.g., nightly or weekly) so that business intelligence reporting is not impacted. Using this strategy, long-running or complex queries have no impact on the performance of the transaction-processing environment.

Transaction-Oriented System Provides Optimized Response Times

The uFACTS Solution Framework has been performance tested multiple times and is designed to meet processing demands of AWI now and in the future.

The physical design of the database supporting a transaction-oriented system is geared toward efficient access to keyed data; for example, retrieving claimant data for a caller. To support complex queries, it is often desirable to transform the data to create one or more different physical designs. These different physical implementations can be relatively simple, such as creating additional indices to provide more efficient access by non-key fields. They can also be more complex, such as creating “summary” tables to provide pre-built summarizations (for example, total wages for an employer), or separating data into multiple tables (for example, creating separate tables to provide reports for each district office) to allow more efficient access to subsets of data. As the data reporting environment migrates from simply mirroring the production data to a more tailored data schema, the underlying data structures can be enhanced to provide optimized response times when reporting on calculated data elements.

Reporting Components Offer Scheduled and Ad Hoc Reporting

The reporting components of the Service Tier enable management to pull ad hoc reports on demand or to receive reports on an automated basis, meeting state and federal requirements. The Web-based reports are generated when accessing the reporting database, which is an updated copy of live production data.

This reporting database enables users to run ad hoc reports without impact on production workloads by scheduling automated reports to run in off-peak times.

Automated reports could include a daily summary of claims files, or quarterly accounts statements, and can be distributed electronically via e-mail or presented as a PDF file through links within the application. E-mail alerts notify users when reports are available. The system is designed with full reporting capabilities and capacity, and the uFACTS Solution Framework takes into account reporting as a critical requirement in supporting federal and state statistical reporting needs.

For more sophisticated Business Intelligence analysis, uFACTS can leverage enterprise-level analytic software packages, such as BusinessObjects Web Intelligence. These tools allow you to explore your data and provide sophisticated counter-measures against intentional fraud and unintentional bad data scenarios.

Business Intelligence, Data Mining, and Fraud Analysis Capabilities Help Identify Fraud

Business Intelligence and Fraud Analysis is a significant part of the uFACTS Solution Framework. AWI will have the tools to detect UC fraud faster than more traditional methods allow, leading to greater productivity and reduced costs.

Fraudulent patterns can be identified and future fraud losses can be reduced with the uFACTS Solution Framework's Business Intelligence, Data Mining, and Fraud Analysis capabilities. Our system enables managerial staff to analyze and report on fraudulent employer data and receive alerts on predetermined metrics. Authorized users will be able to look at data multi-dimensionally, drawing fraudulent trends, patterns, and suspicious information from a central data warehouse. They will also be able to visualize, analyze, and create reports on a number of areas, from eligibility validations, to receiving benefits, to end-of-service benefits cycle.

The Business Intelligence capabilities can provide query and reporting, decision support, data mining, and statistical analysis to dynamically analyze data. The uFACTS Solution Framework can integrate with AWI's IT environment by linking existing databases and systems, and provide UC agents with seamless access to fraud-related reports and analysis. The solution for UC will help the Agency address the following:

- WHAT happened? (Reporting fraud)
- WHY did it happen? (Analyzing fraud)
- WHY will it happen? (Predicting fraud)
- WHAT is happening? (Monitoring fraudulent activities)
- MAKING it happen (Monitor and curtail fraud)

With the uFACTS Solution Framework, AWI can surface the results of the included data mining solution's accurate scores for every service and payment transaction at the point of service to identify possible fraud and reduce fraud losses. It will serve as a visualization tool once the analytical solution has identified and isolated fraudulent patterns, and as an instrument to propose prevention criterion.

Summary of uFACTS Information Tier Benefits

A summary of the key features and benefits of the Information Tier is shown in *Exhibit 5-72* below.

[redacted]

Additional information regarding the software components included in the information tier is included in Appendix 5-B – uFACTS Technical Architecture Software Component Details.

5.3.3 Functional Requirements

The uFACTS Solution Framework provides key UC business functionality by:

- Relying on an integrated data model and business services that are shared across functional modules.
- Integrating with industry leading third-party products to provide document management, workflow, and correspondence generation capabilities.
- Providing self-service delivery channels for claimants and employers through the Web or IVR.

The uFACTS Solution Framework's technical architecture, third-party software components, and supporting development tools were selected specifically to address the functional requirements of an unemployment compensation system while providing the scalability, reliability, and maintainability demanded by a mission-critical application serving the needs of a large user population. This section summarizes how the uFACTS Solution Framework's technical capabilities specifically address your business needs in the areas of Claims, Appeals, Benefit Payment Control, and Adjudication. For additional details, please refer to *Section 5.1* and *Tab 8.16 – Attachment Q* of our response.

5.3.3.1 Claims

All four tiers within the uFACTS Solution Framework — the Presentation Tier, Service Tier, Integration Tier, and Information Tier described above in *Section 5.3.2* — provide capabilities to support efficient and flexible Claims processing.

The Presentation Tier allows claimants to access the system through multiple channels, for example providing Web and IVR-based user interfaces to claimants, both of which rely upon a unified set of business logic and a single database to provide a consistent customer experience across all channels.

Additionally, claimants using the IVR can be routed via uFACTS telephony features to call center staff that are immediately displayed relevant information about the claimant's account and can provide assistance using the same browser-based information that claimants view over the Web.

Furthermore, the Presentation Tier includes toolkits that allow detailed fact-finding questionnaires to be readily created and maintained to facilitate data collection over the Web, as well as printing and mailing of identical data collection forms to claimants who use the IVR.

This use of a single repository and tool set to create and maintain fact finding questionnaires for both online and print output significantly reduces development and maintenance effort, while simultaneously providing consistency across customer service channels.

In addition, the uFACTS Solution Framework's Service Tier supports the varied and ever changing data collection and business logic requirements needed to support regular UC programs and special programs such as extended benefits, work share programs, Trade Readjustment Act (TRA), and Disaster Unemployment Assistance (DUA) through:

- Flexible business services that are architected for reuse of common logic, but customizable to meet program-specific needs
- Readily maintainable business logic in the rules engine component and system code tables to help keep pace with legislative and policy changes

Finally, the Integration Tier and Information Tier of the uFACTS Solution Framework support Claims processing through, among other capabilities, a rich set of pre-built interfaces to obtain federal/military/out-of-state wage data and other claimant-specific

information, and an integrated database and reporting component that was architected to support UC reporting requirements at the federal and state levels.

5.3.3.2 Appeals

The integrated database, business services, workflow/document management, scheduling, and template-driven correspondence capabilities of the uFACTS Solution Framework provide for streamlined processing of Appeals.

The uFACTS Solution Framework's Appeals module provides an intuitive process that is consistent with Adjudication processing, allowing for streamlined training of staff.

For example, uFACTS allows appeal hearings to be scheduled automatically, with the resulting appeals case routed to the appropriate appeals judge and tracked in the system via a workflow item.

The document management component tracks and displays all documents pertaining to the issue being appealed, as well as documents received as part of the appeals process.

Furthermore, the uFACTS Solution Framework's single integrated database and shared use of adjudication business services allows the results of the appeal to be immediately registered in the system and applied to employer charges and overpayments/underpayments as appropriate, with customizable appeal decision documents being generated and sent to appeal parties through the template-driven correspondence engine.

5.3.3.3 Benefit Payment Control

The uFACTS Solution Framework's Service Tier, Integration Tier, and Information Tier provide a variety of capabilities to support Benefits Payment Control.

For example, the unified set of business services within the Service Tier facilitates integration between multiple business functions (such as monetary calculations, adjudication, and payment processing) to enable seamless creation of overpayments/underpayments based on the results of an issue determination or monetary redetermination.

The Information Tier's integrated data model allows reporting and data analysis to uncover indications of processing errors or fraudulent activities, while the Integration Tier provides additional fraud detection capabilities through interfaces with other agencies to perform targeted querying (e.g., to verify a claimant's identity) or to obtain bulk data in order to perform cross-matches.

In addition, the uFACTS Solution Framework's workflow component supports Benefit Payment Control through the creation of work items to trigger staff action when there is an indication of fraud or when other manual follow-up is needed.

5.3.3.4 Adjudication

The uFACTS Solution Framework's workflow, document management, and template-driven correspondence components are among the technical capabilities contributing to the Adjudication process.

The workflow component manages assignment of issues to adjudicators based on issue complexity and adjudicator skill criteria, as well as tracking and reporting of statistics on the adjudication process. These workflow processes are integrated with imaging and document management capabilities that present relevant documents to adjudicators and trigger necessary follow-up actions by staff immediately upon receipt of documents (from both claimants and employers) that are indexed and associated with the issue being adjudicated.

The uFACTS Solution Framework's template-driven correspondence mechanism supports the documentation and communication of adjudication results by combining standard determination language (specific to each issue type/subtype) with tailored selections of text entered by staff at the time of adjudication. This process provides consistency and time savings in issuing determinations, while preserving the ability of adjudicators to customize determination text to meet unique circumstances. In addition, the collection of intelligent, customized fact finding at the front end of the adjudication process (described in *Section 5.3.3.1* above), based on the unique circumstances of each claimant, improves data collection and adjudication efficiency.

5.3.4 Non-Functional Requirements

Deloitte's uFACTS Solution Framework meets AWI's non-functional requirements through a combination of the framework's built-in capabilities and the technical features of the industry leading third-party products that are integrated with uFACTS.

The uFACTS Solution Framework's technical architecture will meet the various non-functional requirements of the proposed UC solution. The technical solution is architected in such a fashion that a combination of the uFACTS application technical features along with the technical features of the industry leading third-party products that the overall solution integrates together will meet both the non-functional and functional requirements of the proposed UC solution. In this section, we will address how the proposed solution's technical architecture addresses the non-functional requirements of the core process areas identified by AWI in Attachment Q.

Account Management: The uFACTS Solution Framework provides for a very rich user account management functionality that meets the requirements of the proposed UC solution. The uFACTS Solution Framework uses application functionality made up of relational database tables, application code and LDAP repository to provide for the account management functionality such as user account management and account preferences for all external and internal users of the system.

Correspondence: The uFACTS Solution Framework provides for a very comprehensive correspondence generation and printing functionality that meets the requirements of the proposed UC solution. The uFACTS Solution Framework uses a combination of application functionality built upon relational database tables, application code and HP Exstream software to provide for high volume correspondence generation. The correspondence functionality supports features such as template versioning, WYSIWYG editor, PDF output, reprinting and others.

Database Architecture: The uFACTS Solution Framework utilizes a relational database model that is very comprehensive and follows a set of database design standards. The database design includes features such as normalized database tables, primary key, additional unique and non-unique indices to support faster performing queries, foreign key and referential integrity. Our proposed solution features an Oracle 11g enterprise database that provides features that help DBA perform their database management tasks such as database size monitoring, data partitioning and query optimization.

Development and Support Services: The uFACTS Solution Framework provides a very comprehensive set of tools and techniques to meet these requirements. Both the application and the third-party products integrated into the solution allow for measuring and recording the performance of application software, database management system, IIS server, FileNet, etc. In addition, the application and the third-party software products record various levels of system messages (informational through critical error messages).

Disaster Recovery: The uFACTS Solution Framework provides a very comprehensive set of tools and techniques to meet these requirements. The proposed toolsets will provide

for system backup and restoration of data and system configuration. These recovery points will be on a periodic basis such as daily, weekly, monthly, etc. and include both incremental and full backups. Using the proposed toolsets, Deloitte will work with AWI to meet the Recovery Time Objective.

Events and Scheduling: The uFACTS Solution Framework provides several technical and business features that enable users to schedule events and appointments, manage calendars and also allows for the automatic generation of notification to users of a scheduled event or appointment. Additionally, it maintains historical information related to scheduled events. The uFACTS Solution Framework uses a combination of application functionality made up of relational database tables, application code and the Simple Mail Transfer Protocol to provide this functionality.

Imaging: The uFACTS Solution Framework features an integrated document management solution that offers seamless integration with FileNet P8 suite of products. The architecture integrates the uFACTS application with the FileNet P8 Content Manager, Capture Professional, OpenText RightFax and the hardware components to provide for the various imaging-related requirements of the proposed solution. Some of the key features of the solution include receiving incoming documents via fax and paper, automatically indexing documents when possible, attaching documents to issues, redacting documents and attaching non-indexed documents to work queues for manual indexing.

Interfaces and Interoperability: The uFACTS Solution Framework includes several features to meet these requirements. The solution includes pre-built functionality to interface with ICON, Department of Homeland Security, Social Security Administration and other interfacing agencies such as Federal Department of Labor. The solution uses technologies such as web services, secure FTP, and HTTPS based file upload/download for transmission of data at a single transaction level through bulk file upload and download.

Notes: The uFACTS Solution Framework features a robust notes functionality that will help meet these requirements. The notes functionality offers creation/viewing of notes that are attached to the system transactions at various levels (claimant, issues, employer, third-party representative, etc).

Policies and Standards: The uFACTS Solution Framework features several technical features that enable building code which results in complying with the various state and federal laws that govern secure data transmission and accessibility of the system. The project team will work with AWI to specifically identify the compliance requirements and develop the solution that meets those requirements.

Record Management and Audit: The uFACTS Solution Framework features several technical and business functional features that enable record management and audit of business transactions performed using the proposed system. The solution features functionality that stores an audit trail data of business events, data retrieval and update tracking, success and failure event logging, tracking and reporting of such audit trail data by authorized users.

Reporting: The proposed solution integrates SAP's Business Objects reporting products which include a very comprehensive feature rich set of products that meet the various reporting requirements. The Business Objects reporting suite of products and the inbuilt uFACTS reporting mechanism complements to offer a robust and flexible reporting solution for all user groups of the system.

Search and Navigation: The uFACTS Solution Framework features intuitive search and navigation functionality that the users find very easy to use. The search functionality features various means of search using ID numbers, name, partial and full text searches, wild card searches, group search, sorting and paging of results.

Security: The uFACTS Solution Framework features comprehensive security architecture to address the security requirements of the proposed UC solution. The security functionality features user account management, role based security, password and account resetting, secure communication by users and data transmission to external agencies.

System Architecture: The proposed solution features a highly scalable fault tolerant architecture and redundant hardware and software components that will meet the requirements of the proposed UC solution. The proposed solution uses the high-availability architecture that is proven to meet the high user volume and concurrent user counts of unemployment insurance systems.

Usability: The proposed solution features a highly intuitive and user-friendly graphical user interface that increases user adoption of the system with minimal or no training. The system provides user friendly features such as easy navigation, easy to understand messages, descriptive text (rather than code values), save and exit feature, electronic document uploading and viewing, and language/user preference management.

Workflow: The proposed solution features workflow functionality to manage work item processing within the system. The workflow management is offered within the uFACTS solution which uses FileNet P8 Business Process Management to manage the workflow queues and items. Our integrated workflow and document management features offer a seamless and user-friendly experience to the user who does not need to login to or work directly with the workflow management software.

Customer Relationship Management and Call Center (all core process areas): The proposed solution features integration of a call center and IVR platform which will cater to the requirements of the proposed system. The call center software (Genesys) in conjunction with the uFACTS Solution Framework supports the requirements in this area by managing the call details, business transaction execution and reporting.

5.3.5 Reliability, Availability, and Disaster Recovery Capabilities

The uFACTS Solution Framework is engineered to provide our clients with a high level of system availability, reliability, and ease of maintenance. Our proposed solution is capable of producing reliable, accurate, timely and consistent results when processing and reporting AWI's UC information and business transactions.

Deloitte's proposed solution uses high-availability that operates in a failover mode with redundant hardware and software technologies to make certain that faults/errors are managed and recovered from effectively and swiftly. Each of the key components of the hardware and software will be deployed in a high-availability and/or redundant architecture. In addition, the application architecture allows for handling business logic/edit errors and exceptions, both in online and batch processing environments.

Following is the architecture from both a hardware and software perspective that enables reliability, availability, and disaster recovery capabilities of the proposed solution.

5.3.5.1 Hardware

Deloitte has incorporated reliability, availability, and disaster recovery considerations into both the overall hardware topology and the selection of specific hardware products for AWI.

Web Traffic Load Balancer

Our proposed solution uses redundant BIG-IP Servers to make certain that the incoming Web traffic is load balanced to the Web, application, content and workflow servers. The BIG-IP Server automatically detects out-of-service servers and will not send traffic to them. The redundancy in the BIG-IP Servers makes certain that there is continuity in services, even if one of the BIG-IP Servers is out of service. The usage of the BIG-IP Servers also allows for easier maintenance of the servers it manages by rerouting traffic away from unavailable servers, without interrupting the application.

Web Servers

Our proposed solution uses multiple Web servers to serve the incoming Web traffic. The determined number of Web servers makes certain that they have the capacity to handle the peak volume concurrent load with excess capacity to handle growth. This means that there is always enough capacity to handle the Web traffic even if one of the Web servers is out of service.

Application Servers

Our proposed solution uses multiple application servers to serve the incoming Web traffic at peak volumes with excess capacity to handle growth, even if one of the application servers is out of service.

Business Process Manager and Content Manager Servers

Our proposed solution uses redundant hardware clustered using a hardware load balancer (BIG-IP) to allow Business Process Manager servers to handle failure of one of the hardware components. The FileNet P8 Content Manager requires deployment within a J2EE application server. Thus, our proposed solution utilizes J2EE application server clustering features to provide high availability for the Content Manager.

Database Servers

Our proposed solution uses redundant hardware clustered using Oracle RAC to make certain that the database servers can still function even if one of the hardware components fails. The usage of Oracle RAC also allows an individual server to be taken off-line for maintenance without interrupting the application.

SAN

Our proposed solution uses highly scalable and redundant storage area network (SAN) to provide storage for Oracle database files, content such as scanned images, FTP files, etc. The SAN is configured for automatic failover using RAID to provide redundancy and reliability for stored data.

Similar high-availability and/or redundant architecture are used in all the key components of the application architecture. In addition, the hardware products proposed have specifications that include redundancy in hard disks, host bus adapters, network cards, and fiber channel switches.

5.3.5.2 Software

In our response to AWI's requirements, we describe key aspects of the uFACTS technical architecture and how our architecture aligns with AWI technology objectives. The uFACTS Solution Framework is built on an open architecture that allows flexibility to define technology standards for your organization and is compatible with the proposed software and hardware. The flexible foundation will allow you to adapt as demand grows, requirements change, and your overall operation changes. The uFACTS Solution Framework technical architecture has demonstrated reliability and efficiency.

Web Servers and Application Servers

Our proposed solution uses Microsoft IIS Web servers to manage Web traffic to the Web and application servers. The IIS Web farm functionality will balance the load within the Web and application servers using multiple worker processes. The functionality (Web garden) will automatically balance requests within a server so as to provide increased application availability and reliability.

Error Handling Fosters Data Integrity

Our proposed solution offers a variety of edits to capture user input data errors for format, type, cross-data element edits, and business rule edits. In these situations, the user is notified of errors by a user-friendly error message displayed on the screen. The application software does not commit the database transaction until these errors are corrected to foster data integrity.

In the event the online application experiences an unexpected exception condition, the application captures and records the details to appropriate logs for support staff review. The reviewer then recommends the appropriate course of action. In this case, the application notifies the user that the application experienced technical difficulties and the support staff will contact them.

In a batch processing environment, batch processes handle several error conditions and the errors are logged into a batch error log for support staff review and recommendations. In the event of a non-handled exception, an exception is thrown by the batch process, which is then attended to by support staff. The support staff determines the course of action, which may include skipping processing of the offending data, fixing the offending data and continuing with processing, or skipping the batch process and continuing with the next batch process.

Deloitte's proposed solution will provide a highly available and reliable system through the clustering and failover capabilities of our proposed hardware and software products as well as through features of the uFACTS Solution Framework, such as the ability to keep online processes running during batch processing via granular locking of specific data that is being updated in batch.

Batch Processing Features for 24x7 Availability

One of the key features of the uFACTS Solution Framework is the 24x7 online availability mechanisms to provide system services to users even while most batch processes are executing. The system uses an innovative approach in processing batch transactions to keep the online system available and operational. The uFACTS Solution Framework includes a multi-threaded batch framework which allows high-volume processing to be managed across multiple application servers simultaneously, while preventing concurrent online transactions from conflicting with batch processing. The various batch processes, while executing, do not place locks on system resources such as database tables, thereby preventing such resources from being available for use by the online system. They also do not place an application based logical lock on the entire system while the batch process is executed. The batch processes, when required, usually

place an application based logical lock on limited functionality only for the claimant's or employer's data being processed by it.

Online and batch processes are performance and volume tested to confirm that they should not interfere with each other's performance. Our experience in implementing this approach with other large-scale UC systems will help us to provide AWI with a system that addresses your large-volume processing needs while preserving a high level of system availability for your online users.

Load-balancing Features Allow Maintainability and Ease of Modification

Due to the high level of redundancy and load balancing features built into the architecture at the hardware and software levels, the system allows for component maintainability and ease of modification. For example, if there is a need to take an application server down for hardware maintenance (such as failure of a redundant hard drive) during the system's operational hours, it can be achieved without interrupting the overall system's availability, since the other application servers within the cluster will be able to take over the load from this application server during the time this server is under maintenance. There are certain situations when the application must be shut down from use. Such situations include, but are not limited to the following:

- Installation of operating system patches
- Installation of patches to the third party vendor software
- Application software deployment
- Upgrades to the operating system and/or third party vendor software such as migrating from one version to another

Deloitte addresses the requirements for disaster recovery as described in the Florida UC Modernization ITN, including areas such as hot-site/backup facility cutover, system continuity, and on-site and off-site backup storage.

5.3.5.3 Disaster Recovery Plan Provides Business Continuity

Our proposed technical architecture incorporates hardware and software technology that gives AWI a powerful combination of technology components that is flexible, scalable, reliable, efficient and recoverable in the event of a disaster. Deloitte's Disaster Recovery Plan has been demonstrated to be an effective approach for planning for the contingencies of disaster recovery and business continuity.

All mission critical servers have a stand-by server to take over in the event of a failure. Many servers are either load balanced via application clustering or by an application delivery controller (ADC) such as F5 Networks' BIG-IP. Application delivery controllers provide more than just load balancing. Load balancing is not only implemented at the server level but also at the various individual component levels on each server. This provides improved performance of the business services and failover capabilities at a very granular level. Servers have redundant network paths to the network and to the SAN. The various blade servers are distributed among multiple chassis too, so in the unlikely event a chassis were to totally fail, all the application servers would not be impacted.

Software products such as Oracle's RAC (Real Application Clusters) allow performance enhancement, fail over and the flexibility to expand the architecture on demand. Oracle's Real Application clusters (RAC) option supports the transparent deployment of a single database across a cluster of servers, providing fault tolerance from hardware failures or

planned outages. Oracle RAC running on clusters provides Oracle's highest level of capability in terms of availability, scalability, and low-cost computing. Oracle's RAC supports mainstream uFACTS Online Transaction Processing (OLTP) business application databases.

The uFACTS application utilizes the Oracle RAC technology and provides high availability for applications by removing the single point of failure with a single server. If a node in the cluster fails, the uFACTS Oracle database continues to run on the remaining nodes without any disruption, thus providing a smooth and transparent failover for a 24x7 system. In addition, the technology is convenient for the technical staff to shut down the database for maintenance or upgrade while the application users continue to work. Oracle's RAC also provides the flexibility to scale application databases based on usage and need, thus saving and cutting initial costs. When there is a need for more processing power, the RAC nodes can be expanded without taking users offline to gain horizontal scalability.

The high-availability features of the uFACTS Solution Framework not only provide for enhanced reliability and uptime during normal operations — they also present capabilities that support disaster recovery planning.

The uFACTS databases can optionally use Oracle's Active Data Guard technology to help with data replication to a remote site. Oracle Active Data Guard is the most efficient and comprehensive data availability, data protection, and disaster recovery solution for Oracle enterprise databases. It provides the management, monitoring and automation software infrastructure to create and maintain one or more synchronized standby databases to protect data from failures, disaster, errors and corruptions. This data replication to a remote site is in addition to the daily database backups performed to tapes, which can be rotated to remote off-site secure locations.

Other non-database backups are performed according to industry accepted standards to a high speed tape drive system. System monitoring software is incorporated to manage the hardware and alert the operator if there is an outage with the hardware. Various types of alerts can be triggered by the monitoring tools. The monitoring tools can be customized to indicate the severity of the problem and can alert the State's personnel in a variety of ways so that corrective measures can immediately be taken depending on the severity of the problem.

EMC's RecoverPoint can be utilized for SAN replication to a disaster recovery environment. RecoverPoint protects the uFACTS Solution Framework's information from both system and site failures, leveraging the power of EMC Unified Storage Platform networked storage systems — to offer both synchronous and asynchronous remote mirroring. RecoverPoint can maintain an exact byte-for-byte, real-time copy of production data in a secure, remote location.

The combination of our uFACTS Solution Framework, our UC program experience and the flexible structure of our application architecture enable us to meet AWI's critical requirements for reliability, flexibility, availability, and disaster recovery.

5.3.6 COTS Customizations

The uFACTS Solution Framework is not a Commercial Off-the-Shelf (COTS) product — all unemployment insurance functionality and core business logic resides within the .NET-based uFACTS application and rules engine where it will be fully accessible and maintainable by AWI. However, uFACTS does leverage COTS software to provide select capabilities and utility functions, such as document management, workflow, business rule management, address validation, correspondence generation, reporting, and IVR/call center functionality. To allow AWI flexibility for the future evolution of the system and ease of maintenance/upgrades, Deloitte's approach is to integrate with (rather

Deloitte follows a forward-looking approach in integrating COTS products into the uFACTS Solution Framework. Through use of an adapter layer and other techniques for loose coupling, we preserve your ability to upgrade or replace COTS products as your future needs dictate.

than customize) COTS software in a loosely coupled manner, most often through published APIs and adapter layers that reduce the number of touch points between uFACTS system code and external COTS packages.

If a third-party component's published API undergoes changes when an upgrade is released, such changes generally can be accommodated by modifying the adapter layer rather than all areas of uFACTS system code that might be using that component. This technique is employed, for example, in the integration of document management, workflow, and address validation software, as well as in our interaction with industry standard directory servers through the LDAP protocol.

Additional techniques can also reduce the degree of coupling between your uFACTS-based system and the third-party software it uses. For example, many of the reports that are generated within uFACTS are scheduled during off-peak hours, generated as PDF files, and uploaded into the document management repository where they can be accessed via searches by users with appropriate security within the uFACTS application. Thus, upgrades or changes to the underlying reporting software are not problematic —your system relies upon the continued ability of the reporting product to schedule and generate PDF-based reports.

AWI can achieve long-term maintainability of the overall architecture, including the ability to upgrade or replace third-party components primarily through updates that are centered on a single adapter layer rather than spread throughout the application, using Deloitte's approach:

- Integrate and configure — rather than customize — COTS software.
- Provide interoperability via published APIs and an adapter layer within the uFACTS code.
- Employ other techniques for loose coupling, as evidenced by our approach to report generation.

In addition to following an approach based on loose coupling for third-party products that are integral to the uFACTS Solution Framework, Deloitte will also apply these principles when integrating with Florida's SAP-based SUNTAX system in an effort to streamline the assimilation of any future changes that may occur to that system.

5.3.7 External Interface Strategy

The uFACTS Solution Framework supports multiple approaches for interfacing with external systems through its powerful Integration Tier. In order to provide AWI with an agile and maintainable integration architecture through adherence to open standards, Deloitte's external integration approach will utilize Service Oriented Architecture (SOA) principles where feasible, while maintaining the flexibility to employ other techniques where necessitated either by functional requirements or by constraints imposed by external systems.

The uFACTS Solution Framework is built using Service Oriented Architecture (SOA) techniques, allowing AWI to leverage the latest in enterprise-level capabilities. SOA is a software design and implementation methodology of loosely coupled, coarse-grained reusable artifacts (services) that can be integrated with each other through a wide variety of platform-independent interfaces.

[redacted]

5.3.7.1 Historical Evolution of SOA

SOA is the result of an evolution of design patterns developed over many years and of lessons learned through the implementation of differing methodologies within the computer industry. Each methodology brought the goals of modularity and flexibility one more step within the grasp of the application developers as outlined in *Exhibit 5-74*.

uFACTS-Specific Example Roles

Service Providers:

- Eligibility
- Registration
- Appeals
- ICON (façade)
- Workflow
- Content Management
- Correspondence
- Audit

Service Consumers:

- uFACTS application
- Remote field agent
- U.S. Department of Labor
- Other State agencies
- Employers
- Agents

[redacted]

5.3.7.2 Service Components

SOA services consist of two basic components:

- **Interface**
  The access layer between the service consumer and service provider. It contains:

service integrity, service input and output data information, and service purpose and function metadata.

- **Implementation**
  The core functional or business logic of the service. The implementation of the service should be transparent to the service consumer so that the consumer does not require any knowledge of the implementation specifics to invoke the service.

5.3.7.3 Roles and Collaboration

Our uFACTS Solution Framework employs service providers and service consumers to implement UC specific business functions and underlying utility functions such as the management of workflow and correspondence. The principal actors who participate in an SOA are Service Providers and Service Consumers. Each actor can be defined as having distinct roles within the SOA paradigm:

- Service Providers
  - Define service interface including inputs, outputs, and other service characteristics
  - Implement service invocation via defined service interface
  - Can be published in service directory, such as a UDDI, using a WSDL contract that defines the interface description of that service
- Service Consumers
  - Find services through use of a service directory
  - Invoke services programmatically over a network
  - Exchange messages with the service provider using the published address of the service

uFACTS Services are aligned with key business processes.

Benefits Services examples:

- Monetary Calculations
- Eligibility Determination
- Appeals
- Benefit Payment
- Employer Charges

Technical Services examples:

- Correspondence
- Event Logging
- Scheduling

5.3.7.4 Alignment of Services and Components

In a Service-Oriented Architecture, the challenge for any framework or application is architecting a system that is extensible and reuses code without sacrificing system performance. The uFACTS Solution Framework is built with this consideration in mind by leveraging the performance and code reuse features of a typical component-based architecture with all the benefits of a Service-Oriented Architecture.

The uFACTS Solution Framework is much more than simply a composite application with added Web service “hooks” into the architecture. Components within the Framework are exposed as SOA Web services, which are aligned with key business processes such as monetary calculations, eligibility determination, and appeals. This allows for much more seamless integration between services and components and prevents the need for extra or redundant business orchestration steps within the published services.

Consider *Exhibit 5-75*, which demonstrates the difference between frameworks that are built using SOA concepts that have their components and services aligned and those built more traditionally.

[redacted]

5.3.7.5 Integration Based on an SOA Architecture

The Service Tier of the application architecture emphasizes a highly structured and partitioned design pattern using leading object-oriented (OO) practices. Business functionality is implemented separately from, and loosely coupled to, the user interface functionality of the application. The data and logic for any logical business entity is integrated into one coherent object definition, which publishes a defined interface for use by other components of the application. This results in a high degree of reuse of business logic. For example, wherever any information about a claimant (or employer) is needed, a common claimant (or employer) object would be instantiated.

Further, this partitioned design pattern provides the basis for an SOA. The business components function as service providers that are independent and loosely coupled. The functionality of these service providers is dependent neither on the user interface logic nor on the details of the interfaces with other systems. Access to these components from external systems is no different than access from the Presentation Tier.

Deloitte's support for multiple interface strategies will provide the flexibility AWI needs.

The interface requirements for integrating the UC business functionality into the AWI enterprise are complex, requiring a variety of integration strategies. For example, we understand that this solution will need to integrate to multiple external and internal systems. Each of these systems has a different technology, which will require a flexible approach. Our Integration Tier is designed to provide AWI with just that: a variety of techniques for accessing the Service Tier services using some distinct interface paradigms, such as Web services, messaging, and enterprise data integration.

Web Services Provide Simple, Multi-channel Access

The most basic interface to the Service Tier services is simple access to the transactions that are provided natively by the business components and are used by the Presentation Tier layer. These interfaces are published as Web Services, providing the ability to reuse this business code anywhere in the enterprise. For example, IVR and computer-telephony integration (CTI) applications can take advantage of these interfaces to provide the same business functionality to telephony users that the Web-based system provides. True multi-channel access and complete business code reusability is the result.

Asynchronous Messaging Aids Integration with Legacy Systems

A messaging paradigm is often required to integrate a modern, distributed application such as uFACTS with legacy applications. Legacy application environments often do not natively support SOAP and Web Service protocols, and the system availability is often not consistent with the high-availability requirements of Web-based applications. An asynchronous messaging technique can be used to facilitate message delivery across multiple network protocol translations in order to integrate legacy systems with transaction processing environments.

Enterprise Data Integration Provides Additional Interoperability

In cases where the data repository for the interfacing system is able to be connected through ODBC or ETL tools, this approach often will allow for efficient bridging of multiple systems. Data can be retrieved and synchronized between the various systems through the Enterprise Data Integration option, allowing for a single, common view of the information.

Leveraging the multi-faceted integration approaches described above that are supported by the uFACTS Solution Framework's flexible Integration Tier, Deloitte will work with AWI to define the appropriate techniques for developing the external interfaces required for Florida's UC system.

5.3.8 Detailed List of Hardware Required

AWI needs an application infrastructure designed to manage complex business functions and high-volume transactions via a secure Web interface.

uFACTS is Scalable

The uFACTS Solution Framework utilizes industry leading components which allow your system to be robust and maintain operational capabilities even through failures which might occur (such as hardware malfunctions).

Changing needs, high volumes and high availability are key factors that impact online business applications. Deloitte's solution delivers a multi-tiered, component-based, service oriented application architecture to support complex processing of changing business logic and rules using tools and software that provide for streamlined maintenance capabilities. A component-based approach allows for a variety of physical server configurations using a wide range of hardware platforms.

The hardware Deloitte proposes to support the uFACTS Solution Framework is centered around industry recognized leaders within their specific domains. By providing redundancy within the equipment components, AWI will be able to achieve the required levels of system uptime and performance.

Deloitte's chosen equipment vendors provide AWI assurances for long-term support of the critical components within the solution architecture. Vendors such as HP and EMC are large within the industry and have stable equipment and maintenance paths. We believe our selected equipment vendors will provide AWI the services and solutions to meet the business and technical requirements, now and in the future.

Furthermore, Deloitte understands that AWI needs a system capable of handling a large user base. Deloitte has experience with systems of size and scope similar to Florida's, and because of the scalable design of the uFACTS Solution Framework, adding capacity for additional concurrent users is achievable by adding additional server infrastructure and

"scaling out" the solution. We have used this experience to provide you an infrastructure specification to meet your requirements.

Finally, to provide AWI a hardware configuration that is economical and more easily maintained; Deloitte proposes use of virtualized environments — based on the VMware vSphere virtualization platform — for many of the software components underlying the uFACTS Solution Framework. As virtualization has become a key component to an overall IT infrastructure strategy, it is important to choose the right vendor. VMware is a leading business virtualization infrastructure provider, offering a trusted and reliable platform for virtualization. A reliable industry-proven hypervisor is a critical foundation of a virtualized infrastructure. It must include built-in migration, aggregation, allocation, power management, and availability services. The VMware vSphere virtualization platform delivers these capabilities to AWI for management of its hardware infrastructure.

The diagrams below provide an overview of the hardware configuration Deloitte proposes for AWI's production environment. Deloitte's proposed development and test environments generally mimic the structure of the production environment, but with reduced server counts. Following the diagrams, we present a detailed listing of the individual hardware components that comprise the development, test, and production environments.

[redacted]

[redacted]

5.3.8.1 Deloitte's Proposed Equipment Configuration

AWI requires current technology choices that are leading performers within the industry as well as highly reliable. Deloitte's uFACTS Solution Framework can run on a variety of hardware platforms, and in this section we outline a set of proposed hardware that leverages the latest proven technologies from the leading manufacturers. For example, an EMC Centera storage area network (SAN) is proposed to efficiently and reliably store AWI's data and documents, while HP blade servers are recommended to provide a reliable and maintainable server environment in a cost-efficient manner.

The proposed equipment consists of the following items:

- Servers
- Workstations
- Storage
- Printers and Peripheral Equipment
- Network
- Other Required Hardware for the proposed UC Solution

We are not proposing UPS.

Please refer to the following table for a detailed listing of the proposed equipment by environment.

Note: The Development Environment referenced in the table below consists of separate logical environments for Integration Testing and System Testing. The Test Environment consists of separate logical environments for User Acceptance Testing and Training.

By Environment – Function/Description	Development	Test	Production
Servers			
HP BL460C Blade Server • 2 CPU, Quad-core, Intel Xeon 2.93Ghz • 6GB RAM • RAID 1-300GB	9	2	32
HP BL460C Server • 2 CPU, Quad-core, Intel Xeon 2.93Ghz • 48GB RAM • RAID 1-300GB • Onboard Administrator	2	3	8
HP BL460C Server • 2 CPU, Quad-core, Intel Xeon 2.93Ghz • 192GB RAM • RAID 1300GB • Onboard Administrator	2	2	9
HP BL680C Server • 4 CPU, Quad-core, Intel Xeon 2.93Ghz • 16 GB RAM • RAID 1-300GB • Onboard Administrator	-	4	4
HP DL380 Server • 2 CPU, Quad-core, Intel Xeon 2.66Ghz • 6GB RAM • RAID 1-300GB • Onboard Administrator	1	1	2
HP Blade Center Chassis • (6)2360W Power Supplies • Capacity for 16 BL460C Blade Servers • Fiber and GigE networking • Redundant power supplies	2 (shared)	2 (shared)	4
Workstations			
HP Notebooks Intel Core 2 Duo, 3 Ghz 4GB RAM 160GB HDD Free Fall Sensor 7200RPM 17” Display Windows OS	33	-	-
HP Workstation (for document scanning) Intel Core 2 Duo, 2.4Ghz	1	-	11

By Environment – Function/Description	Development	Test	Production
4GB RAM 320GB HDD 7200RPM 19” Display Windows OS			
Storage			
EMC SAN/NAS Unified Storage Platform ~ 10TB Both SAN and NAS Mix of FC 15k Drive and SAS	1 (shared)	1 (shared)	1
HP ML6010 2-Drive Tape Drive LTO-4 Tapes and cleaning cartridge Rack	1 (shared)	1 (shared)	1 (shared)
Printers and Peripheral Equipment			
Kodak Scanners i405	1 (shared)	1 (shared)	7
Kodak Scanners i620	-	-	4
Brooktrout Fax Boards • 8 port (Production) • 4 port (Development, Test)	1	1	2
Networking Equipment			
F5 Networks BIG-IP 6900 (pair) Modules: ASM, Web Accelerator, Max SSL 2 CPU 8GB RAM	-	-	1
F5 Networks BIG-IP 3900 (pair) Modules: ASM, Web Accelerator, SSL 1 CPU 4GB RAM	1 (shared)	1 (shared)	-
Other Required Hardware for the proposed UC Solution			
Hardware Rack 42U 2 PDU’s • KVM, mouse and monitor included	1	1	3

Exhibit 5-82. List of Proposed Hardware.

We understand that AWI is requesting each vendor to deliver a bid that represents what we believe is our best solution including a comprehensive hardware and software list. However, Deloitte recognizes that the agency has a substantial investment in pre-existing or soon to be existing hardware platforms.

We want AWI to understand that our uFACTS Solution Framework is flexible as it relates to hardware and software platforms and is compatible with industry standard hardware platforms such as HP blade centers and EMC storage systems. In addition to our solution being flexible and standards based, many of the products we propose using

are already in use at AWI or will be soon, which increases opportunities for hardware reuse while also simplifying AWI's long-term maintenance of the system, due to fewer skill sets being needed in house.

If AWI chooses to investigate the reuse of existing hardware assets, please understand that Deloitte is open to these discussions as AWI may realize substantial cost benefits with this approach, based on an enterprise-wide view of information technology architecture and assets.

The flexible architecture of the uFACTS Solution Framework allows Deloitte to provide clients such as AWI with infrastructure alternatives that match enterprise preferences and reduce total cost of ownership, while meeting or exceeding the service levels that your customers demand. We believe the hardware selections we have presented in this section will provide AWI a stable, scalable, and maintainable platform on which to deploy and operate your UC system.

5.3.9 Detailed List of Software Required

The uFACTS Solution Framework's software components provide best of breed functionality to support AWI's UC system requirements.

uFACTS helps AWI realize opportunity – Infrastructure:

- Improved service levels due to more robust systems and architecture
- Reduces key person risk and allows for a standards-based IT skill set
- Lower total cost of ownership
- Improved ability to integrate with outside agencies and vendors
- Greater control, flexibility and agility with simpler procedures to modify the systems/processes
- Better ownership of routing rules and IVR information
- Improved quality of measures, real-time performance dashboards and decision support

AWI requires current technology choices that are leading performers within the industry as well as highly reliable. The proposed software of the uFACTS Solution Framework is centered around industry recognized leaders within their specific domains. By providing redundancy within the software components, AWI will be able to achieve the required levels of system uptime and performance, while benefiting from leading edge functionality to support the UC system's needs for data management, call center management, document management, workflow management, and correspondence generation among other functions.

Deloitte's chosen software vendors provide AWI assurances for long-term support of the critical components within the solution architecture. Vendors such as IBM, SAP BusinessObjects, and Oracle are large within the industry and have stable software maintenance paths. We believe our selected software vendors will provide AWI the services and solutions to meet current business and technical requirements, as well as solid upgrade paths and long-term support.

The table below provides a listing and description of the commercial-off-the-shelf (COTS) software components that Deloitte is proposing to support the uFACTS Solution Framework for AWI. It is organized based on the following categories of software specified by AWI and denotes the environments in which these software components will reside.

- Proposed Application Software
- Operating System Software (for both Servers and Workstations)
- Data Management Software
- System Software Tools
- Development Tools
- Security And Controls Software

- Version Control Software
- Business Rule Management Software
- Other Required Software for the Proposed Solution

We are not proposing Network Software or Network Management Software.

Description	Version	Development	Test	Production
Application Software				
FOIAXpress (Named Users)	latest	NC	NC	5
Genesys IVR and Call Center		Site License	Site License	Site License
GlobalScape EFT Secure FTP (Server and Failover)	Enterprise	1	1	1
HP Exstream	latest	1 (shared)	1 (shared)	2
IBM FileNet P8 – Business/Process Workflow (Named Users/AUVU)	4.5	NC	NC	(1,600 / 885)
IBM FileNet P8Content Management (Named Users/XUVU)	4.5	NC	NC	(300,000 / 162,500)
IBM FileNet P8Capture	4.5	1 (shared)	1 (shared)	11
IBM Rational Policy Tester (Accessibility)(VU)	latest	1000 pages	-	-
Informative Graphics Brava Enterprise Viewer (70 of the 1600 licenses allow document redaction)	latest	NC	NC	1600
LLBL Gen Pro (Named User)	latest	19	-	-
Microsoft IIS (Web Servers and Application Servers)	2008	4	4	40
Open Text RightFax (Fax Ports)	latest	-	-	16
Page Scholar JSpell Pro Suite	latest	Site license	Site license	Site License
QAS Pro Web (Call Center Users/CPUs)	6.5	NC	NC	670 / 6 CPUs
SAP BusinessObjects Xcelsius Enterprise (Named User)	latest	NC	NC	40
SAP BusinessObjects Enterprise Premium (Named User)	latest	NC	NC	40
SAP BusinessObjects Web Intelligence (Named User)	latest	NC	NC	40
ScaleOut SessionServer (per CPU)	latest	4	4	48
UC4 Application Manager Master/Failover	latest	1	1	1
UC4 Application Manager Agent	latest	1	1	22
UC4 Graphical Analysis Package	latest	1 (shared)	1 (shared)	1
Operating System Software				
Microsoft Windows Server (64-bit) (Server)	2008 Standard	20	21	92
Microsoft Windows Server (32 -bit) (Server)	2008 Standard	1	1	2
Microsoft Windows 2008 CALs		35	-	-

Description	Version	Development	Test	Production
Microsoft Windows 7		34	-	11
RedHat Linux		1	1	3
VMWare vSphere 4 Enterprise		1	1	8
VMWare vCenter Server Standard		1 (shared)	1 (shared)	1 (shared)
Data Management Software				
Oracle Database Enterprise Edition (Licensed Per Core)	11g	-	-	48
• Real Application Clusters (RAC)		-	-	48
• Advanced Security		-	-	48
• Tuning Pack		-	-	48
• Diagnostics Pack		-	-	48
• Partitioning		-	-	48
Oracle Database Enterprise Edition (Licensed Per Named User)	11g	40	80	-
• Real Application Clusters (RAC)		-	80	-
• Advanced Security		40	80	-
• Tuning Pack		40	80	-
• Diagnostics Pack		40	80	-
• Partitioning		40	80	-
Microsoft SQL Server (64-bit) (Licensed Per CPU)	2005 Express	1	1	2
Microsoft SQL Server (64-bit) (Licensed Per CPU)	2008 Standard	1	-	-
System Software				
Microsoft System Center OPS Manager (Per Server)	latest	21	22	94
Development Tools				
Adobe Robohelp (User)	latest	4	-	-
Adobe Dreamweaver (User)	latest	14	-	-
CA Erwin Data Modeler (User)	latest	3	-	-
Embarcadero Rapid SQL (User)	latest	33	-	-
Embarcadero DBArtisan XE (User)	latest	3	-	-
Freedom Scientific JAWS (User)	latest	1	-	-
HP QTP (Named Users)	latest	3	-	-
HP LoadRunner (Virtual Users)	latest	-	5000	-

Description	Version	Development	Test	Production
HP Quality Center (Floating Users)	Enterprise	20	-	-
IBM Rational Rose (Floating Users)	latest	10	-	-
IBM Rational Requisite Pro (Named Users)	latest	14	-	-
IBM Rational Requisite Pro (Floating Users)	latest	5	-	-
Microsoft Visio (Copy)	latest	5	-	-
Microsoft Visual Studio (Named Users)	latest	19	-	-
SAP Crystal Reports (Named Users)	2008	5	-	-
SAP BusinessObjects Data Services Professional (CPU)	latest	4	-	-
Security and Controls Software				
Microsoft Active Directory	2008	2	2	2
Version Control Software				
Microsoft Team Foundation Server (Named Users)	latest	33	-	-
Business Rule Management Software				
Oracle Policy Automation	latest	Enterprise license	Enterprise license	Enterprise license
Oracle Policy Modeler	latest	Enterprise license	Enterprise license	Enterprise license
Other Required Software for the Proposed Solution				
Adobe Acrobat Standard (User)	latest	10	-	-
Adobe Captivate (User)	latest	3	-	-
EMC Networker (Licensed Per Server)	latest	22	23	97
Microsoft Office (User)	latest	33	-	-
Microsoft Project (User)	latest	5	-	-
Snag It (User)	latest	14	-	-
Symantec Endpoint Protection (Antivirus) (Licensed Per Device)	latest	56	23	108
NC = No Charge				

Exhibit 5-83. List of Proposed COTS Software

As noted above, in *Section 5.3.8*, we recognize AWI's substantial investment in pre-existing enterprise software assets. Deloitte's uFACTS Solution Framework is flexible as it relates to software platforms and is compatible with industry standard software such as the Microsoft suite of operating systems and the Oracle database. In addition to our solution being flexible and standards based, many of the products we propose using are

already in use at AWI or will be soon, which increases opportunities for reuse and/or licensing savings while also simplifying AWI's long-term maintenance of the system, due to fewer skill sets being needed in house.

If AWI chooses to investigate the reuse of existing software assets, please understand that Deloitte is open to these discussions as AWI may realize substantial cost benefits with this approach, based on an enterprise-wide view of information technology architecture and assets.

The uFACTS Solution Framework provides a flexible, multi-tiered architecture that result in an extensible, comprehensive solution backed by industry-tested technologies and Deloitte's depth of experience. Our structured uFACTS Solution Framework is a tried and tested solution, repeatable, and customizable to meet the needs of AWI's business — supported by software products that provide robust functionality and can reduce your total cost of ownership through enterprise synergies.

5.3.10 Summary of uFACTS Solution Framework, System Development Approach and Technical Description

Deloitte's uFACTS Solution Framework provides AWI a UC system built upon our experience from successful implementations in multiple states, a flexible multi-tiered technical architecture, and enterprise components from industry leading third-party vendors.

uFACTS Client Benefits to AWI

- A solution offering built on leading practices
- A base application that addresses your core business needs
- A development framework that allows us to tailor the application to your specific requirements quickly and efficiently
- A tried and tested approach and methodology

AWI faces the common challenges that come with disparate systems and antiquated technology, disconnected manual processes, and a lack of high performance interfaces between agencies, departments, and systems. To meet its objective for putting citizens back to work and improving unemployment compensation operations for the State, it must achieve its vision for a single UC modernized system sooner than later. In response to these challenges, we have described key aspects of the uFACTS Solution Framework and technical architecture and how solution aligns with AWI's business and technology objectives. Throughout *Section 5.1, 5.2 and 5.3*, we have provided a detailed description of our proposed solution, project approach and technical architecture for the UCCBIS Project and how it supports the key functional areas of the AWI solution — Benefits, Adjudication and Appeals, Reporting, Economic Research and Integrity, and Administrative Services. We are committed to AWI and the State of Florida's success.

We will deliver a system that meets your requirements. We know that Florida has many unique requirements, and we will comply with them. We do not bring just a turn-key or state transfer solution; Deloitte's uFACTS Solution Framework is designed for modification and customization to deliver on each of your specific requirements.

Deloitte's proposed technology solution is consistent with recent AWI Solutions (e.g., ELIS), allowing AWI to achieve enterprise synergy from a technology and skills standpoint.

We will meet your capacity sizing needs. Deloitte understands that AWI needs a system capable of handling a large user base, particularly in difficult economic times where claims increase dramatically. Deloitte has experience with systems of size and scope similar to Florida's. Because of the scalable design of the uFACTS Solution Framework, adding capacity for additional concurrent users is achievable by adding additional server infrastructure and "scaling out" the solution. We have used this experience to provide you an infrastructure specification to meet your requirements.

Deloitte's uFACTS Solution Framework Flexibility

The uFACTS Solution Framework has been successfully implemented in both Microsoft .NET and J2EE. We can provide AWI with an alternative bid using J2EE if AWI is interested.

We will increase your UC program efficiency. AWI requires more than core business services and leading technology. While federal policy changes impact your business, the need for increasing efficiency in the workplace and transferring the right data across a complex infrastructure also requires the right level of service and skill to implement an effective UC application.

AWI can gain a sound and flexible business rules engine, advanced workflow components, document management and imaging components, correspondence generation capabilities, and a telephony architecture — implemented by experienced professionals with a history of successfully delivering the uFACTS Solution Framework. The uFACTS Solution Framework is, foremost, built on experience. For example, we know business logic and rules must drive users to the programs that put people back to work. The more responsive the system is, the more quickly you achieve your goals. Therefore, our success goes beyond just implementing technology. The technology and how it processes information must also serve your business. The Deloitte uFACTS Solution Framework gives AWI an advantage by helping to deliver the most complete implementation possible.

The uFACTS Solution Framework and our skilled team combine technical expertise with business understanding to deliver a dependable technology solution that works for you. AWI gets flexibility and efficiency, powerful technology, a user-friendly interface, and reliable service. The uFACTS Solution Framework is built around basic software application services that correspond to the key activities of your UC program. This approach allows us to tailor your system to your needs while leveraging best of breed technology.

We designed uFACTS to enable you to focus on solving your business problems, rather than worrying about the technology. uFACTS is built on a service-oriented architecture that allows you to define technology standards for your organization that are compatible with multiple hardware vendors. The uFACTS technology architecture gives you more choices, because you are not held hostage to a particular platform or vendor. The result is a highly flexible technology foundation that you can adapt as demand grows, requirements change, and your overall operation changes.

Our Proven uFACTS Solution Framework and Approach:

Deloitte has compiled the best of its application architecture components from multiple implementations and has successfully delivered them as one comprehensive solution. We are ready to deliver to you the same successes experienced by our other state UC clients.

The combination of our uFACTS Solution Framework, proven project approach, experienced UC resources and the flexible structure of our application architecture enables us to meet AWI's critical business and technology requirements:

- Allows UC agents to process claims and claimant data via a secure Web interface
- Provides a business rules engine that is easily modified when federal policies change
- Automates workflow for enhanced efficiency and cost savings to the State of Florida
- Accommodates high traffic volumes over the Internet
- Allows for quick code modifications by leveraging .NET-enabled, industry standard technology
- Provides the integration required for call center/IVR and Web processing, allowing multiple self-service delivery channels for your customers, all relying upon a single back end with unified business logic and database
- Provides the UC Benefits functionality that AWI requires

Should we be selected to support you in your UC Modernization efforts, we will deliver a "best of breed" solution that is consistent with your business and technology vision. Our proposed solution will provide you with the foundation to realize your technology and business goals now and in the future. We are confident we offer the lowest risk solution

that will provide the greatest value for Florida citizens, and will enable AWI to achieve the opportunities outlined in the IVB Feasibility Study sooner with the least impact to UC staff. We look forward to the opportunity to team with you to develop a system which will best serve the State of Florida's UC modernization efforts and its citizens.

5.4 Warranty, Maintenance, and Operations

5.4.1 Warranty, Maintenance and Operations Approach

AWI needs an experienced vendor who recognizes how critical effective warranty, maintenance, and operations support are to the success of the UC UCCBIS project. Deloitte understands that providing these services increases the quality of the application and results in project success. AWI will receive tried, true, and tested results that have already been demonstrated successfully for other clients in the UC marketplace.

We understand that AWI requires the vendor to maintain the UCCBIS application for one year after its acceptance. During that time, Deloitte will help AWI to confirm that the UC application remains fully functional and operational (system is functioning as designed and meets the contract requirements). Additionally, we will support upgrades to the technical environment to help make certain that system hardware and software versions are current.

We will develop and tailor a final plan to AWI's requirements, but the following information represents the general approach that we will take to provide these support services to you.

5.4.2 Warranty, Maintenance, and Operations

Deloitte's warranty, support, and maintenance for the proposed solution complies fully with the requirements outlined in *ITN Section D, Exhibit 1, 12.1 Maintenance and Operations* and *12.2 Warranty Support*.

Deloitte's Project Approach and Project Schedule (*Tab 4 – Project Approach and Methodology*) include the Contractor Maintenance and Operations and Warranty Support Responsibilities and assume Agency (AWI) Maintenance and Operations, and Warranty Support Responsibilities and Assumptions (*ITN, Section D, Exhibit 1, 12.1.1 and 12.1.2*).

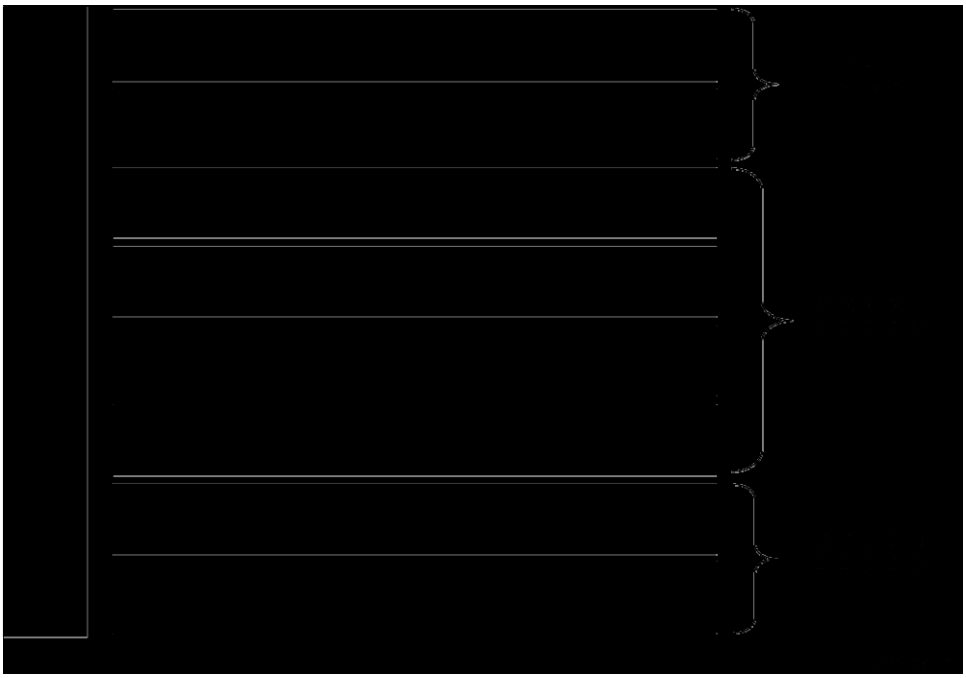
We include, at a high level, the following topics in our Warranty, Maintenance and Operations Plan:

- Support Model
- Warranty Support
- Triage and Customer Support
- Ongoing Operations
- Maintenance
- Service Level Agreements

The remainder of this section describes each of these components of the plan for your consideration

5.4.2.1 Support Model

Exhibit 5-76 shows Deloitte's support model, which depicts the layers of service necessary to run applications support and maintenance. This includes maintaining an operating platform; creating basic interfaces, and managing the systems and application software that affect daily business decisions. Deloitte provides these services based on the experience gained from other maintenance engagements and our established standard practices. Deloitte's Support and Maintenance solution encompasses everything from the top of the stack down through the concrete in the data centers.



The model provides three broad categories of activities: user support, application management, and infrastructure management. In addition, this model supports activities such as staffing support levels and use of software programs. Within the broad categories, there are layers of activities that need to be addressed for a UC system. This model does not prescribe linear activities – rather, it is designed to provide a context for incorporating the AWI existing business processes wherever possible. However, this model does provide a flexible framework that helps us account for the needs in the Maintenance and Operations Phase, helping to minimize operational risks. Moreover, our operational support model is based on Information Technology Infrastructure Library (ITIL®) principles. ITIL is the recognized standard in providing operations services, and is a recognized and accepted standard at many State of Florida agencies.

We take this model one step further by integrating project management throughout the threads of activity. This project management oversight helps us to weave in a people-oriented focus, in terms of staffing, communications, quality, and service management (i.e., implementation support and other productivity initiatives). This model reflects an approach to operations that focuses on business-driven outcomes and program success,

rather than just a series of technical tasks. As such, this approach helps us to provide AWI with better focused Maintenance and Operations support.

With our model, AWI receives comprehensive and consistent methods and terminology derived from broadly accepted ITIL standards that help make your future operating environment easier to manage not only for us, but also for any future vendor you may elect to work with. We provide this “vendor agnostic” approach toward our processes as a means of maximizing long-term value to AWI, while minimizing operational and transition risk to the project. We focus on reusing existing toolsets as much as possible, as this helps to manage costs and maintain a smooth operating environment.

5.4.2.2 Warranty Support

Warranty Support begins after UCCBIS is operational and accepted by AWI.

For a 365-day period, Deloitte staff will be available to address UCCBIS defects, defined as instances where the outcome or results delivered by the system do not comply with documented, validated, and approved contract requirements and system design.

During Warranty Support, we group component fixes and apply them on a periodic, systematic basis — usually during a period of low system activity, unless they represent a critical emergency fix. As with the initial incremental migration processes, system components must be fully tested and signed off on by AWI before being released for production implementation. No migrations are allowed from the development environment directly into production.

5.4.2.3 Triage Customer Support

Triage is a component of the overall Defect Management process. Defect Management calls for a multi-level process that leverages AWI Help Desk capability, providing complete service request management and defect resolution. This process accommodates multiple scenarios with respect to request initiation and multiple providers of managed service components (e.g., hosting, Help Desk, etc.).

[redacted]

Deloitte's problem resource flow includes three levels of support as show in *Exhibit 5-77*. We apply standard procedures at each level, with the goal to resolve the problem quickly and effectively.

- **Support Requests.** Requests for support can come from two sources – an incident notification or service call request. An incident is a problem or information notification sent from automated monitors at the hosting site. A service call is a problem or information received from a managed software user or support personnel.
- **Help Desk Support.** The Help Desk is the control center for ticket capture, tracking, escalation, and communications that are necessary to process service request and meet Service Level Agreements (SLAs). Once the Help Desk receives a notification or service call, a Help Desk agent creates a service desk ticket. The ticket contains the available information regarding the nature of the problem, symptoms, level of impact (including a severity level rating), contact information for the person reporting the problem, the time and date of the report, and other pertinent information.
  If the Help Desk is unable to resolve the service request, the request is then escalated and routed to Application Support.
- **Application Support.** Application Support analyzes escalated requests, isolates the source of the problem, and attempts to fix it. If successful, a support team member contacts the client directly with the result and a request to close the ticket – in the same manner as the Help Desk process. If unsuccessful, the isolation process identifies the software module or hardware component believed to be the source of the problem and Application Support contacts the appropriate vendor (e.g., FileNet). For the duration of the problem resolution, Application Support is the liaison with the vendor to track

progress, obtain any additional information needed, and report on outcomes. Once resolved, Application Support verifies the fix, schedules and performs the installation, and submits the request to close to the client. Upon approval, Application Support updates the ticket with information regarding the resolution and notifies the Help Desk of the approval to close the ticket. The Help Desk sends an email notification to the client and closes the ticket.

- **Vendor Support.** The Vendor Support level represents the contracted maintenance and support function provided by the third-party software and hardware vendors. In addition to managing the interaction with a vendor during problem resolution, AWI Application Support maintains the existence and appropriate level of necessary support required to meet the SLAs and monitors when specific contracts may be approaching renewal to prevent a lapse of coverage.

Tools

Several types of tools aid in providing applications support – both in performing the various functions and tracking that performance.

- **Help Desk System.** This ticket tracking system captures incidents and service requests to the Help Desk and tracks alerts triggered by the monitoring probes configured on your hardware and software. We can customize a specific Help Desk System implementation so the support team can modify the ticket types, priority levels, assignment queues, authorized callers, and escalation procedures to meet specific requirements. The Help Desk System is a primary performance-monitoring tool with regard to ticket processing and problem logging.
- **Monitoring.** We use this tool suite to monitor the equipment, servers, operating system (O/S), database, application, and network in the hosted application environment. We configure the monitoring agents to trigger alerts when system parameters reach predefined limits. We will customize monitors to create an incident ticket automatically in the Help Desk System when the agent triggers an alert.. Monitoring tools are another component we use to track performance again service levels.
- **SLA Reporting System.** SLA reporting systems link data from the Help Desk System and monitoring agents to allow the project team to run service reports on a designated basis. While we usually define a core set of service reports initially, these systems support the development of client-specific reports. We will work with AWI management to define project specific reports for UCCBIS.
- **Operations Run Book.** During the implementation, the data center and hosting team develop an Operations Run Book, which is a detailed repository of information regarding the setup and operational procedures required for the servers, networks, network devices, databases, and all application components of the UCCBIS environment. At go-live, we harden (i.e., secure) the production environment. Any changes to production and to the Run Book after hardening must go through the change control process.
- **Standard Operating Procedures (SOPs).** Deloitte will develop, with AWI's input, a set of SOPs, which outline all processes and procedures for areas such as change control, problem management, release management, and resources. We configure SOPs to meet AWI's specific needs during transition. Once the SOPs are completed and in production, changes to the documents must be processed through the change control/configuration management process.

5.4.2.4 Ongoing Operations

Ongoing Operations involve Administration, Monitoring, and Break/Fix Support. We describe each of these below.

Administration

Administration addresses the support tasks required to maintain and operate the applications and interfaces comprising the UC system. The Deloitte Application Support team performs the administrative tasks prescribed by the vendors and the business requirements to make certain the applications are operating within proper environmental and resource boundaries. Administration staff determines that application resources are appropriate — performing parameter adjustments, purging old data, and managing user profile accounts. System administrators also manage the scheduling and execution of batch runs and reports.

Administration will also review application growth trends with respect to users in terms of license usage and other application limits to support capacity planning. Application admin staff will track vendor notices regarding application problems, usage, and performance technical notes as part of ongoing maintenance.

Monitoring

The UCCBIS application will be monitored on a 24x7 basis to track performance against service levels. This includes intelligent, server-side agents, and remote polling that provide a comprehensive solution for measuring hardware, O/S, and application health and performance. This solution provides redundancy, minimizes system impacts, and maximizes monitoring detail. Our solution supports:

- **Proactive Monitoring.** Identifying degraded conditions before they result in critical failures; replicating the end user experience; and identifying future capacity and architectural requirements.
- **Reactive Monitoring.** Monitoring for events that critically affect the system or the application's ability to provide service.

Database administrators monitor and maintain the operation of the databases supporting the client applications. Database administrators maintain multiple instances and provide refreshes to those instances as prescribed. Database support monitors table usage, adjusting as necessary to prevent table errors.

Break/Fix

Break/Fix addresses the processes involved in resolving application problems as described earlier in the *Triage and Customer Support Procedures* section.

5.4.2.5 Maintenance

Procedures for maintenance center on maintaining system health and efficiency while implementing technical patches to address errors, security, or performance issues and system software/hardware upgrades to remain compliant with the vendor specifications.

- **Hardware Maintenance:** Hardware Maintenance involves running diagnostics to determine potential hardware failures and perform corrective actions and to make sure that the hardware is operating at the optimal level. During the maintenance and operations period Deloitte will work with the hardware vendors to perform necessary updates.

- **Software Maintenance:** Any software upgrades or maintenance that are identified by the Deloitte Team or deemed necessary by the software vendor or AWI will be implemented by the Deloitte Team in collaboration with AWI and the software vendor. These include OS upgrades, security patches, database software updates, and any other updates required for system stabilization.
- **Database Maintenance:** Database Maintenance support performs database tuning and optimization functions. Database Administration monitors the database vendor sites for patch announcements as part of planning for ongoing maintenance support. The database administrator manages database backup schedules performed by hosting partners, and initiates requests for unscheduled restores to resolve problems as needed.

5.4.2.6 Service Level Agreements

Our approach and commitment to successfully perform the maintenance and operations of the AWI UC system will be reinforced by the Service Level Agreements (SLA) that is jointly developed with AWI. An SLA is an aspect of performance for which an acceptable service level is explicitly defined.

An appropriate service level can be defined as challenging but achievable with reasonable rewards and punishments. Levels set too low do not encourage improvement in services provided. Levels set too high may foster an attitude of failure and lack of motivation to provide the service levels desired.

The following are the Service Level Agreement categories at a high level that we recommend:

Uptime and Response Time Metrics	Backup and Batch Jobs Metrics	End-User Support Metrics	Timely Software Updates and Implementation
• OLTP Uptime • OLTP Response Time • Production Online Reports • Build Schedule Implementation Timeline	• DSS Report Jobs • Production Batch Jobs • Backup Completion and Server Data Retention	• First Contact Resolution Rate • Call Waiting Time • Call Abandonment Rate • Ticket Resolution Rate	• Build Schedule Implementation Timeline • Operating System and Other System Software Upgrades

5.4.3 Skill Sets, Training, and Technology Needed for Agency Staff

The recommended skill sets, training, and technologies recommended in *Exhibit 5-78* and *Exhibit 5-79* are based on our previous UC modernization solution transition experience.

Exhibit 5-78 outlines post-implementation roles that are similar to the AWI UCCBIS Project roles. Additionally, we have included a brief description of the role, (typical) candidates within AWI, and the skill set requirement for the role.

[redacted]	[redacted]	[redacted]
[redacted]		
[redacted]		

[redacted]

Exhibit 5-79 outlines a subset of technology architecture and tools that will be deployed as part of the project where third-party technical training may assist AWI. Typically local vendors provide these training services, since the cost of formal third-party technical training courses is outside the scope of Deloitte's post-implementation services. Note that knowledge transfer assistance on how we used these tools to advance the project is included in the scope of the project.

[redacted]

5.4.4 Transition Approach

Deloitte's proposed Transition Approach complies with the requirements outlined in *ITN Section D, Exhibit 1, 12.3 Operations Transition*.

Deloitte's Project Approach and Project Schedule (*Tab 4 – Project Approach and Methodology*) include the Contractor Maintenance and Operations, and Warranty Support Responsibilities and assume Agency (AWI) Maintenance and Operations, and Warranty Support Responsibilities and Assumptions (*ITN, Section D, Exhibit 1, 12.1.1 and 12.1.2*).

Throughout our proposal, and specifically in *Section 5.2 – System Development*, we emphasize our collaborative, joint team approach. Knowledge transfer begins Day 1 and is enhanced through formal and informal training, deliverables, and other system documentation. This approach positions AWI staff to own and operate the UCCBIS solution after project closeout.

5.4.5 Version Upgrades during Implementation Approach

Deloitte works closely with the software vendors (e.g., FileNet, Oracle, etc.), that provide components of the uFACTS Solution Framework, before, during, and after implementation. These relationships have grown with each of our successful UC modernization implementations.

We work with the latest, most appropriate version of these software components during the Develop, Test, and Deploy phases of the project, noting that sometimes it is beneficial NOT to work with the latest version of a software component.

If a vendor plans a version upgrade during these phases or soon after implementation of the UCCBIS solution, Deloitte will work with AWI to determine the potential impact. It may be determined that it is best to defer the version upgrade until post-implementation.

The following Release Management Approach describes how Deloitte will address third-party software component upgrades (i.e., FileNet) and other modifications to the UCCBIS solution.

5.4.5.1 Release Management Approach

The goals and objectives of our Release Management Approach activities are to:

- Plan releases in line with requirements resulting from approved changes
- Build effective release packages for the deployment of one or many changes to production
- Test release mechanisms for minimum disruption to the production environment
- Review preparation for the release to promote more effective deployments
- Deploy the release in line with defined implementation guidelines

Our Release Management Approach involves five major processes necessary to plan and deploy authorized releases into a production environment:

Release Planning. The first step in the release process is the creation of a plan identifying the activities and the resources required to deploy a release into the production environment.

Release Building. Once the Release Plan is agreed upon, members of the release team identify and develop the processes, tools, and technologies required to deploy the release into production.

Acceptance Testing. Acceptance Testing allows developers and end-users to observe how the release and release package perform together in an environment that closely mirrors production.

Release Preparation. After acceptance testing has been completed, the next steps are to prepare the production environment for the release, "prepare" the end-user community, and agree on the action to be taken — either to move to production or return to the release manager for additional work.

Release Deployment (Delivery). The process of deploying the release into the production environment depends on the type and nature of the release and on the selected release mechanism. As changes are made to IT components during deployment, corresponding changes are made to the configuration items and relationships modeling them in the configuration management tool.

Once the release is deployed, the release manager confirms that it is working correctly, before proceeding with further deployments. If the release needs to be backed out, details are recorded, including appropriate information that supports the decision.

5.5 Value Added Services – Innovative Ideas

As one of the world's leading professional services companies, Deloitte is uniquely capable of addressing a wide range of client needs. The larger Deloitte organization offers capabilities in the following areas:

- Audit and Enterprise Risk Services (AERS) – Deloitte & Touche helps organizations identify and manage risks and opportunities to improve business performance, strengthen controls, and enhance corporate governance.
- Consulting – Deloitte Consulting is different from the other major consulting firms—we are aligned with our audit, tax, and financial advisory businesses as part of the Deloitte U.S. Firms.
- Financial Advisory Services (FAS) – FAS advises clients on managing business controversy and conflict, executing deals, and maintaining regulatory compliance.
- Tax – Deloitte Tax has earned a reputation for being a diversified tax advisory organization with a dominant presence in the marketplace.

These broad capabilities enable Deloitte to address nearly any business or technology problem faced by AWI. We touch on a few of these below:

- Additional Change Management services
- Future enhancements of uFACTS
- Additional Consulting Offerings

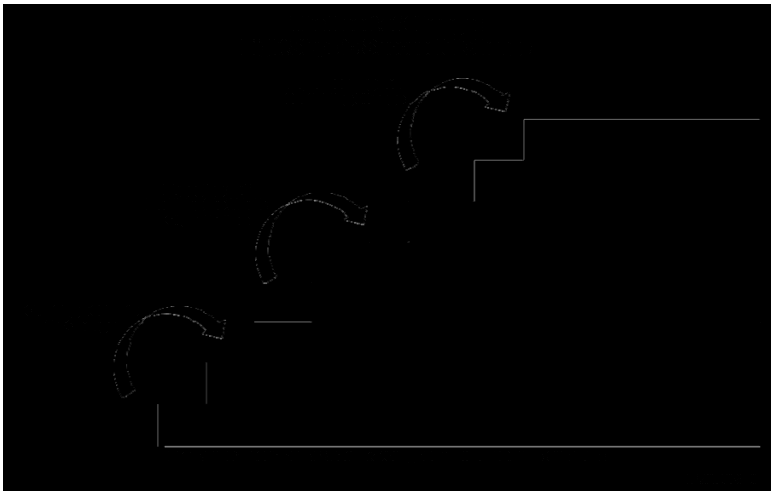
5.5.1 Additional Change Management Services

The people dimension is a key driver to realizing benefits to your business. It is about developing a very clear idea of what you want to change for your UI Program, and then creating a plan that addresses the transition you must make to support that change. Deloitte helps plan and create activities that help people work though the change in the right direction to achieve the goal.

Given the length and complexity of any technology implementation, it is important to remember that change will require the same attention and thoughtfulness as building the technology. Change does not happen overnight. Therefore, the Deloitte team recommends seamlessly integrating change management into AWI's overall approach to the overall UI modernization effort. This will result in a consistent approach to addressing the impact of change on the Agency and its constituents, and will help confirm a smooth transition to the new system.

As outlined in the ITN, Deloitte will create a communications management plan as part of the Project Management Plan, as well as provide support for the Agency's efforts to execute on its overall organizational change management plan. If, however, AWI prefers Deloitte to assume more change management responsibilities, we have a practice dedicated to the delivery of change management solutions.

Our overall approach builds on the concepts and principles outlined in The Heart of Change, co-authored by Dr. John P. Kotter (Harvard Business School) and Dan S. Cohen (Principal, Deloitte Consulting LLP). Organized around an eight-step change process, these principles and concepts focus on success factors aligned with creating a climate for change, engaging and enabling the organization, and implementing and sustaining the change.



Deloitte welcomes the opportunity to discuss any additional support it can provide to AWI in its change management responsibilities.

5.5.2 Future Enhancements to uFACTS

Deloitte is committed to a strategy of continual reinvestment in our uFACTS Solution Framework. Because technology and UI program requirements are continually changing, we recognize the need for uFACTS to evolve to address these new challenges and opportunities. Our current and future clients benefit from the evolution of the uFACTS Solution Framework and associated Technical Framework.

Many of the enhancements we've made to the uFACTS Solution Framework are generated through our ongoing work with your peers around the country. We incorporate lessons learned, leading practices and UC-specific business process improvements back into the solution framework and uFACTS assets stored in our uFACTS Knowledge Repository. Deloitte assigns dedicated resources to maintain our uFACTS Solution Framework, uFACTS Technical Framework and uFACTS Knowledge Repository. Our clients benefit from the level of dedicated resources we assign to maintaining and evolving uFACTS.

AWI can be confident that we will continue to reinvest in uFACTS in the future, and that we will be available to help AWI incorporate ongoing enhancements into the new UC Modernization System in a future contract, if needed.

5.5.3 Additional Consulting Offerings

No matter what business our clients are in or are striving for, excellence in critical functional areas can make or break their future. Our people bring the deep insights and practical experience needed to help our clients address their most pressing issues. From customers and finance to supply chain and talent – we help clients walk the path to value.

Our featured offerings help our clients in their efforts to tackle a unique set of challenges. The following offerings may have relevance to AWI:

- Business Analytics
- Enterprise Cost Management
- Enterprise Sustainability
- Finance Transformation
- Governance, Risk and Regulatory Services
- Application Management Services
- Emerging Technology Solutions (e.g. cloud computing, software as a service)
- HR Transformation
- Service Delivery Transformation
- Talent

We welcome the opportunity to respond to any interest you may have in these service offerings.