HCL Technical Response

To

10-ITN-001-SS

Submitted By:

HCL America, Inc

1950 Old Gallows Road,

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Date of Opening: July 16, 2010; 3.00 pm EST

Revision History

Rev	Date	Author	Changes
1	July 16, 2010	HCL	Submitted to Agency for Workforce Innovation

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Acronyms & Abbreviations

Acronym/Abbrev.	Description
AWI	Agency for Workforce Innovation
iGOVERN™	iGOVERN™ Unemployment Insurance
UI	Unemployment Insurance
AWI UI project	AWI Unemployment Compensation Claims and Benefit Project
PMM	Project Management Methodology
PMBOK	Project Management Body of Knowledge
SSA	Social Security Administration
INS	Immigration & Naturalization Service
DOR	Department of revenue
DMV	Department of Motor Vehicles
ICON	Interstate Claims Operating Network
IRS	Internal Revenue Service
DOC	DOC - Department of Corrections
DOT	Department of Transportation
USDOL	US Department of Labour
DOH	Department of Health
HHS	US Department of Human and Health Services
WCB	Workers Compensation Board
TRA	Trade Readjustment Allowance
TRAA	Trade Readjustment Allowances Additional

TFA	Trust Fund Accounting
TAA	Trade Adjustment Assistance Program
ACH	Automated Clearing House
IVR	Interactive Voice Response
SOS	Secretary of State
Recon	Reconciliation
UC	AWI Unemployment Compensation
USF	University of South Florida
ITN	Intent To Negotiate
JAD	Joint Application Design
PMBOK	Project Management Body of Knowledge
PMI	Project Management Institute
WBS	Work Breakdown Structure
OBS	Organizational Breakdown Structure
EAC	Estimate at completion
ETC	Estimate to completion
CM	Configuration Management
CMS	Configuration Management System
STC	Short Time Compensation
TRA	Trade Readjustment Act
CSS	Claimant Self Service
CSR	Customer service representative
COTS	Commercially-off-the-shelf
GUI	Graphical user interface
BRE	Business Rules Engine
IWF	Imaging and workflow solution
CSR	Customer service representative
API	Application Programming Interfaces
SSL	Secure Socket Layer
KSS	Kerberos Security Services
LDAP	Lightweight Directory Access Protocol
ETVX	Entry, Task, Validation, and Exit
SPOCs	Single Points of Contact
SOW	Statement of Work

RTM	Requirements Traceability Matrix
SIR	System Investigation Requests
GDC	Global Development Center
ITTO	Input, Tool & Technique, Output
ERDs	Entity Relationship Diagrams
ETL	Extraction, Transformation and Load
SSIS	SQL Server Integration Services
SSRC	Southwood Shared Resource Center
SOA	Service-oriented architecture
DMZ	Demilitarized Zone
SSL	Secured Socket Layer
IVR	Integrated Voice Response
ORM	object-relational mapping
FCL	Fax Control Language
FPoC	First point of contact
SLA	Service Level Agreement
UIM	Unemployment Insurance Modernization
LWC	Labor and Workforce Commission
ICR	Intelligent Character Recognition
OCR	Optical Character Recognition
DUA	Disaster Unemployment Assistance

1. COVER SHEET - AWI SOLICITATION ACKNOWLEDGEMENT FORM

AGENCY FOR WORKFORCE INNOVATION

INVITATION TO NEGOTIATE

Solicitation Acknowledgement Form

Page 1 of 137 pages	SUBMIT RESPONSE TO: Agency for Workforce Innovation, Office of Procurement and Contract Administration, 107 East Madison Street, B-047, Tallahassee, Florida 32399-4128, Telephone Number: 850-245-7455
AGENCY RELEASE DATE: May 14, 2010	
SOLICITATION TITLE: Unemployment Compensation Claims and Benefits Information System Design, Development, and Implementation	SOLICITATION NO: 10-ITN-001-SS

RESPONSES WILL BE OPENED: July 16, 2010, 3:00 p.m., EST

and may not be withdrawn within 365 days after such date and time.

RESPONDENT NAME:	HCL America, Inc.
RESPONDENT MAILING ADDRESS:	1950 Old Gallows Road, Suite 555
CITY – STATE – ZIP:	Vienna, VA 22182
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FEID NO.:	77-0205035

*AUTHORIZED SIGNATURE (MANUAL)

Vasu. D. Srinivasan
Vice President, Public Services, Government

*AUTHORIZED SIGNATURE (TYPED), TITLE

*This individual must have the authority to bind the Respondent.

TYPE OF BUSINESS ENTITY (Corporation, LLC, partnership, etc.): Corporation

I certify that this Response is made without prior understanding, agreement, or connection with any corporation, firm, or person submitting a response for the same materials, supplies or equipment, and is in all respects fair and without collusion or fraud. I agree to abide by all conditions of this response and certify that I am authorized to sign this response for the Respondent and that the Respondent is in compliance with all requirements of the Invitation to Negotiate, including but not limited to, certification requirements. In submitting a response to an agency for the State of Florida, the Respondent offers and agrees that if the response is accepted, the Respondent will convey, sell, assign or transfer to the State of Florida all rights, title and interest in and to all causes of action it may now or hereafter acquire under the Anti-trust laws of the United States and the State of Florida for price fixing relating to the particular commodities or services purchased or acquired by the State of Florida. At the State's discretion, such assignment shall be made and become effective at the time the purchasing agency tenders final payment to the Respondent.

RESPONDENT CONTACTS: Please provide the name, title, address, telephone number and e-mail address of the official contact and an alternate, if available. These individuals shall be available to be contacted by telephone or attend meetings as may be appropriate regarding the solicitation schedule.

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4. EXECUTIVE OVERVIEW

The Florida Agency for Workforce Innovation (AWI) is responsible for one of the most complex divisions of state government. With over 1.1 million claimants per year, the AWI Unemployment Compensation (UC) workload is substantial. Increased claim duration in recent years has contributed significantly to the workload pressures felt by AWI. The increasing demands AWI faces in serving its primary customers (claimants and employers) are compounded with frequent legislative changes that must be accommodated by its computing systems. Further, AWI is challenged by a rigid legacy computing infrastructure that hinders AWI staff in providing the highest quality in customer service, operational efficiency, and timely processes and in communicating information to key stakeholders. This has also compromised the ability of new staff to rapidly become proficient with these systems, and the processes that they support. Overall, AWI has not been able to provide the desired quality of service to Florida citizens in need. Selecting the right vendor to implement the AWI Claims and Benefits solution is therefore of paramount importance.

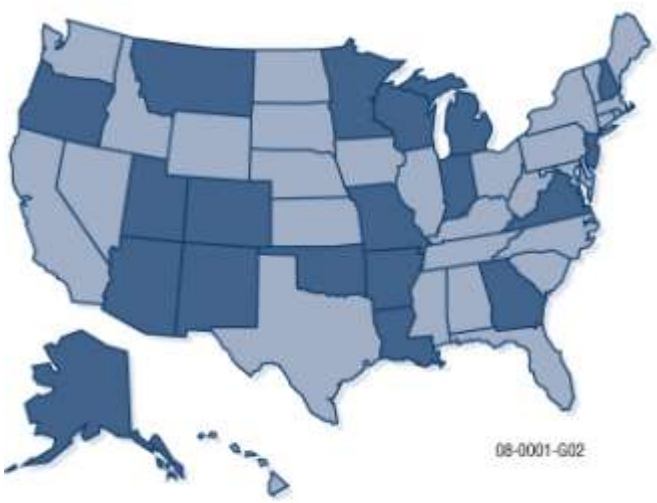
It is a unique vendor that can provide the requisite UC experience and expertise combined with a proven modern solution while remaining sensitive to budget considerations. We trust you will see the substantial evidence in the following pages of this proposal that HCL America, Inc. (HCL) is that vendor. HCL is pleased to present our proposal to develop and implement one of the most advanced UC Benefits systems in the country. We provide our Executive Summary within the following key critical success factors that are comprised within our proposal to AWI:

- A Professional Team
- A Professional Solution
- Real Results

A Professional Team

HCL is a global technology company with a heavy focus on US government clients. Our US subsidiary, HCL America, is a US company headquartered in Sunnyvale, CA. HCL has extensive experience with Unemployment Insurance (UI) clients over the last 10 years. In addition, in January 2010, HCL acquired all of the rights to the RKV Technologies (RKV – formerly Tier Technologies) Unemployment Insurance Practice. This acquisition included all rights to the RKV/Tier Unemployment Insurance (UI) Solution (formerly UI Connect and now rebranded as iGOVERN™ Unemployment Insurance), exclusive hiring rights to all RKV UI consultants, all documentation and artifacts associated with the former UI Connect solution. The combination of the acquired UI Practice combined with HCL's advanced software development capabilities (SEI CMMI Level 5, Six Sigma, ISO certified) will provide AWI with "the best of both worlds" in an effort to reduce your risk and cost in a complex UI system implementation.

With the acquisition of the RKV/Tier UI Practice and solution, HCL is now one of the largest and most experienced UI consulting practices in the nation (see Figure below). For nearly a decade, our UI Practice has been focused on recruiting and attracting the very best UI systems integration talent available. Collectively, our team members experience, experience designed into iGOVERN™ UI and corporate qualifications include over 150 years of ***UI system implementation experience in 19 different states***.



Alaska - UI Tax & Benefits Modernization and UI Call Center Implementation
Arizona - UI Data Validation and IV&V Services
Arkansas - Tax & Benefits Modernization and UI Call Center Implementation
Colorado - UI Call Center Implementation
Georgia - UI Call Center Implementation
Indiana - UI Connect Tax and Benefits Implementation
Louisiana – UI Connect Imaging and Workflow Implementation
Michigan - UI Tax and Benefits Imaging and Workflow Modernization
Minnesota - UI Tax and Benefits Modernization
Missouri - UI Connect Employer Registration and Modernization Assessment
Montana - UI Tax and Benefits Modernization
New Jersey - UI Benefits BPR, RFP Development and IV&V Services
New Mexico - UI Tax Requirements Definition
Oklahoma - UI Call Center Implementation
Oregon - UI Call Center Implementation
Utah - UI Tax and Benefits Modernization
Vermont - Internet UI Tax and Wage Reporting System
Virginia - UI Call Center Implementation
Wisconsin - UI Benefits and Appeals Modernization

To further augment our team and provide the very best in service to AWI, we propose the following subcontractors to provide core competency services as an integrated part of the HCL Team:

With extensive experience in Call Center technology integration, Verizon is a premier provider for integrated telephony solutions. Most recently, Verizon has provided the State of California Employment Development Department with one of the most advanced UI Benefits Call Centers in the nation.

Impression Technology is the leading provider of data capture software for UI agencies. Impression's iCapture forms and indexing solution is highly catered to UI agency needs. With many pre-developed UI forms, Impression's solution is already pre-integrated with HCL's UI Benefits solution.

University of South Florida

The University of South Florida (USF), Division of Sponsored Research offers a public-private partnership for advanced training from their research departments. For example, USF recently trained over 7000 users for the State of Florida Child Welfare systems modernization project utilizing Florida University campus facilities all over the state. We offer a similar training approach to AWI.

A Professional Solution

The HCL team will provide professional grade products and services, integrated together to bring AWI's vision to reality. HCL's iGOVERN™ UI professional product will be tailored to support the primary business functions of Claims, Adjudication, Checks and Appeals. Automated interaction between AWI and its customers will further enabled by the Genesys call center functionality provided by Verizon. Substantial efficiencies in paper and electronic transmissions will be enabled by the iCapture product.

This powerful solution base is one of the factors that will make the AWI UC solution the most advanced system to use for a modernization effort. What this means for AWI is that, while system modifications will be needed, the high-risk areas associated with developing a new system have been minimized as the iGOVERN™ UI, Gensys and iCapture solutions have been proven in production environments in multiple states. Further, iGOVERN™ UI is highly configurable. It includes a powerful business rules engine to minimize the amount of programmatic changes necessary to make business and legislatively mandated changes to the system. The figure below illustrates our proposed AWI UC solution.

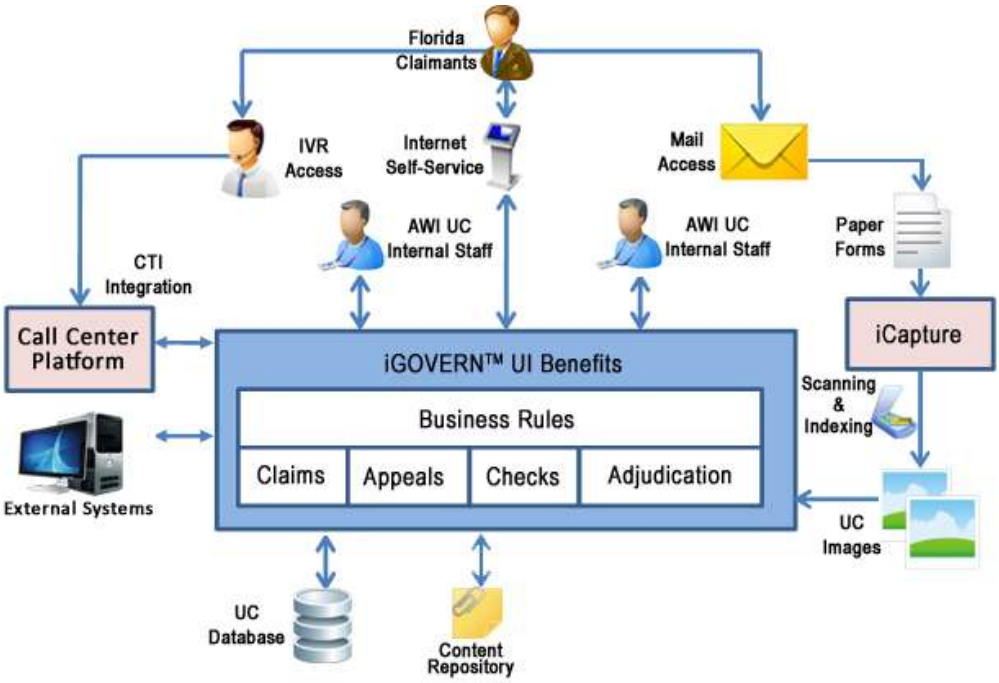


Figure: iGOVERN™ UI provides for a Fluid and Low-risk Transition for AWI

Real Results

iGOVERN™ UI (formerly UI Connect) is the base software solution used in both the Indiana and Louisiana UI implementations. Most recently, the Commonwealth of Virginia has contracted with HCL to implement iGOVERN™ UI for its tax, benefits and appeals UI modernization project. HCL is leveraging our 60,000 square foot facility in Cary, North Carolina to develop and enhance our iGOVERN™ solution for Virginia as well as other states. For AWI, we propose to leverage our iGOVERN™ UI Development Center of Excellence which has also been established in this facility.

We have carefully reviewed the content and requirements in the AWI ITN and are fully prepared to exceed your expectations. We trust that you will find our unique blend of UI experience, solution, team, approach and cost structure, a compelling answer to your UI business system challenges. Collectively, the HCL Team is excited about this opportunity to help AWI implement the system of the future.

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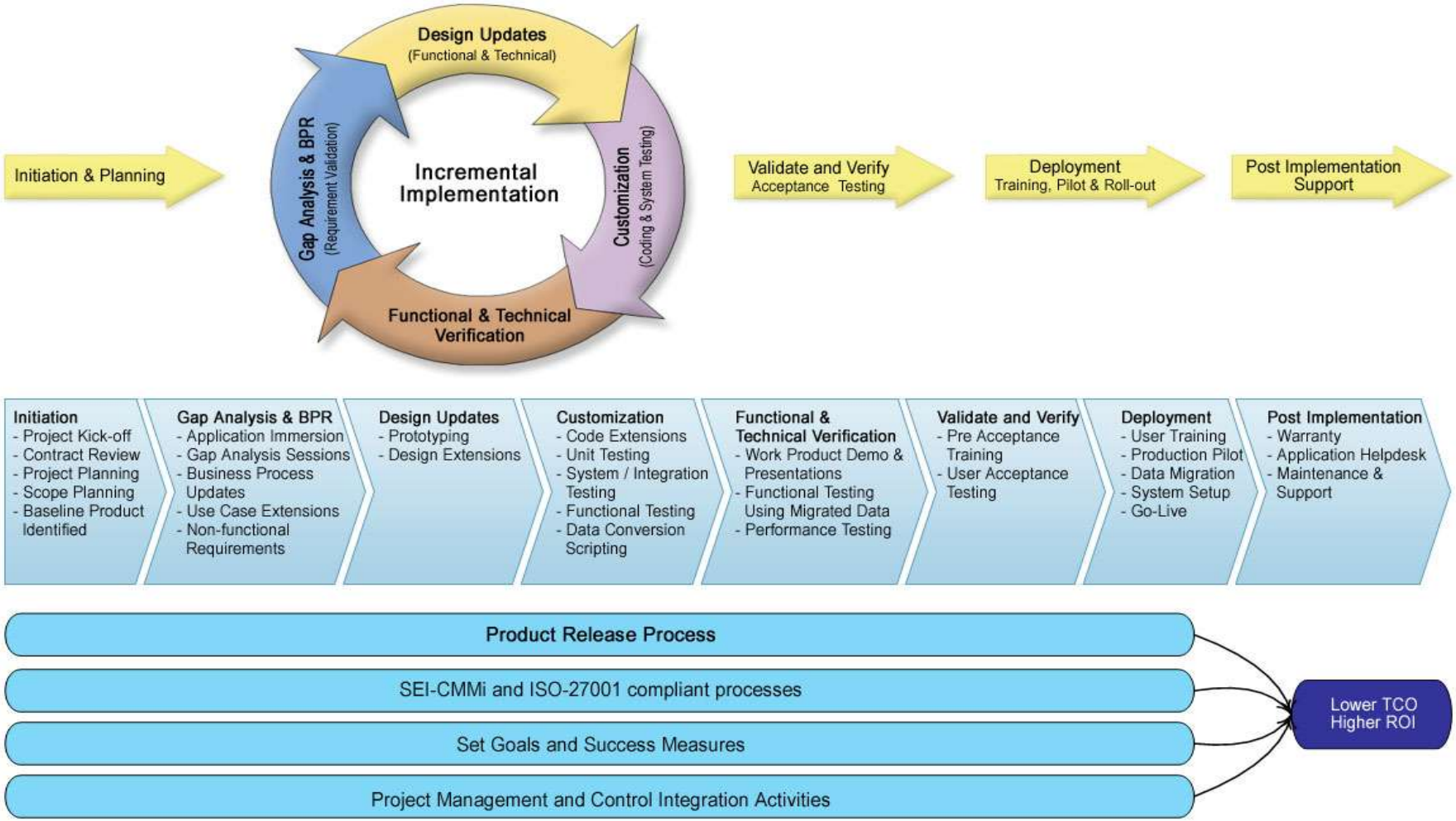
5. PROJECT APPROACH AND METHODOLOGY

5.1 Approach

HCL will utilize the "Incremental Business Process Integration" approach to support the phasing and timeline provisions detailed in Section 443.1113, Florida Statutes and accomplish the tasks described in Section D, Exhibit 1 of AWI Solicitation No: 10-ITN-001-SS. The following diagram illustrates the approach taken from the start of the project until post implementation support for each rollout cycle. Each rollout cycle may have one or more business processes implemented and rolled out, using the same approach. Based on Florida Statue 443.1113, HCL proposes the project to have three rollout cycles implementing the following business process:

- Claimant Self Service Internet Portal
- Call Centre Interactive Voice Response System and Benefit Overpayments Screening
- Benefit and Claims Intranet and Appeals Internet and Intranet.



Figure– iGOVERN™ Incremental Business Process Integration Methodology

This approach coupled with the product strategy ensures that we:

- Utilize the capabilities and features of the ready product to the fullest.
- Spend the project time in building the gaps in functionality rather than building technical platform.
- Build the functionalities in smaller increments rather than in one go.
- Reduce the implementation time to the lowest by relying on out of the box product functionalities.
- De-risk the whole implementation cycle by absorbing the feedback early in the implementation cycle.
- Have the verification done through an informed and trained set of users and SMEs to create the best user experience.
- Get the results more through configuration and customization than build from scratch.
- Extend the ready tested and generic interfaces than creating new ones for each of the integration point.
- Full participation of agency SMEs and end users through gap analysis and training sessions right from the beginning to get better buy-in and trigger the change management processes.

Each Implementation/Rollout Cycle will include the activities listed below.

Initiation

This phase will be executed at the beginning of each rollout cycle. This phase will involve reviewing and updating the earlier plans approved during the common project initiation phase. It will list out the plan for all the activities within the rollout cycle. By reviewing and updating the Project Management Plan at the beginning of each cycle, lessons learned from the previous cycle can be incorporated to the current cycle.

Gap Analysis

In this phase the HCL functional team will validate the AWI functional and non functional requirements by conducting Gap Analysis sessions for the AWI Business Processes. One or multiple modules or functional areas will be run in parallel at any given time. However the sessions will be limited to one a day, four days a week as specified in section 8.2 of the ITIN. To support the aggressive timeframe required in the statute, the HCL functional team will identify potential gaps between the AWI requirements and the existing iGOVERN™ Use case documentation prior to the sessions using Attachment Q from the RFP. HCL will review the gaps with AWI by using the existing iGOVERN™ UI application to walk through the proposed gap resolutions. Any deviation from the existing use cases and the application will be documented and sent for AWI review. Business Process updates will be done where required as per the Gaps identified. In addition to the AWI project team, HCL encourages input from various AWI UC stakeholders throughout the Gap Analysis process. By including stakeholders in the process, buy in and support are more easily gained once the increment is deployed.

The key outcome expected out of the Gap Analysis phase are the extension documents, which act as supplements to the existing document repository, serve as the source of project requirements. Apart from, that the updated matrices serve as a good traceability tools throughout the duration of the project. A lot of attention is given to make sure that these sessions are conducted effectively, as they lay the foundation for the rest of the development process.

Design Updates

In this phase the Functional and Technical design updates will be finalized and design extension documents produced to capture the extensions in design on the product design documents. As the design is finalized, business processes could undergo additional updates. A Functional prototype will be developed and presented to AWI. The Technical system design and updated requirements traceability matrix will be developed and presented to AWI. HCL encourages all AWI UC stakeholders or their representative to attend the presentations and provide feedback to continue to build consensus.

Design activities are carried out with the objective of extending the existing design so that it continues to provide a better user experience without compromising on the design principles, it is based on.

Customization

This phase will include the Configuration, Coding for customizations, Unit testing, Functional testing and System Integration testing activities of the modules for which the Gap Analysis and Design sessions have been completed and the necessary documentation signed off. After each increment has been developed and unit tested it will be sent for functional testing by the HCL testing team. When all the modules for the functional increment are complete and certified by the HCL Development Manager, the application will be system and integration tested by the HCL test team using the approved system test scenarios. All defects reported will be documented and stored..

Our approach stresses on the importance of delivering the maximum possible functionality through the configuration and customization mechanisms available within the solution by extending the existing functionality. It is intended that the minimum possible functionality is build from scratch.

Functional and Technical Validation

Once the HCL testing team has completed functional testing the HCL functional team will present the increment for AWI review. The purpose of these reviews will be to confirm that the functional requirements agreed upon are being met and there are no major gaps. The advantage of this approach is that AWI will have a detailed look at the functionality being provided prior to acceptance testing allowing issues to be identified and addressed with less impact and risk to the overall project. This supports stakeholder buy in as well as ensuring no major surprises are encountered during UAT.

Early feedback is an important contributor in the success of the project which helps in identifying potential gaps early and de-risks the project.

Validate and Verify

This phase will focus on the User Acceptance Test. Once System Integration Testing is complete and verified by AWI, the Test Manager will certify the system is ready for UAT Testing. UAT testing will include all test cases HCL has created as well as any additional cases AWI to ensure a robust and complete test of the system. HCL will use the training materials to train the AWI UAT testers and Pilot users on the system prior to UAT. This training is for both the functional and technical users. In addition to providing training for UAT, this will allow hands-on feedback that can be incorporated in the final training material. While AWI UC stakeholders will execute the test, HCL will be participating by tracking and resolving issues and defects, updating test cases if needed and performing regression testing if needed.

Deployment

This phase includes Training, Pilot and Roll-out. HCL and our sub contractor, University of South Florida will work with AWI to create a Training plan that will ensure that the users and technical support have the necessary knowledge and skills while balancing effectiveness with expense. HCL will create the necessary training material and user documentation to review with AWI prior to publication. Feedback from the UAT and Pilot employees will be incorporated into the final documentation. A detailed plan will be developed for each incremental release that outlines the training schedule, pilot schedule and full deployment roll-out. This plan will list activities to be completed by HCL and AWI staff prior to and during the pilot and roll-out. Once the roll-out is completed the Increment will close. As part of the Increment closure all the relevant artifacts will be updated and delivered to AWI.

Having an early training helps the users in doing UAT more effectively so that the best possible feedback can be received this making the subsequent phases much smoother.

Post Implementation Support

This phase includes Operations Support, Maintenance and Warranty. All the Functional Increments will start getting Operations Support and System Maintenance post UAT acceptance. However Warranty will start post the completion of UAT for the last module integrated. A plan will be created and approved by AWI to ensure the UC solution and all components will be supported. HCL will provide monthly operations reports to AWI. Once the final increment is deployed Warranty will be in effect until the Operational Transition to AWI occurs.

5.2 Project Management

HCL's project management approach and methodology, based upon years of experience across thousands of engagements, establishes the foundation for our recommended approach. We have successfully used our Project Management Methodology (PMM) on many projects. Our methodology has empowered us to complete projects on time and within the approved budget while exceeding client expectations.

Our PMM, which is based on the standards and techniques developed by the Project Management Body of Knowledge (PMBOK), formally describes and gives structure to our project management approach. It provides guidance on key aspects of project management, including the management of scope, cost, time, risks, resources, issue tracking and resolution, and communication. The Project Management plan in Tab 4, Section 4 of the response to 10-ITN-001-SS Exhibit 3 provides the details of our methodology.

Through our methodology, we are confident that AWI and HCL will be able to quickly develop a sound, mutually agreeable, and commonly understood project management approach. We will leverage the HCL PMM tools and processes and modify them as needed to ensure we are fully meeting AWI's project management requirements at noted in 10-ITN-001-SS Exhibit 3, Section 7.

Some of the principles built into our PMM include:

Maintain Focus on the Client's Goals and Objectives

HCL's project management team realizes that it is the AWI's goals for the project that establish the context in which we accomplish our work. It is critical that the project management resources as well as the delivery resources fully understand the strategic goals and objectives for the AWI UI project and the tactical goals and objectives for Phase 3 of the project. These goals and objectives serve as the foundation for all other project activities, including project scoping, chartering, requirements definition, change management, and solution delivery.

Emphasize Deliverables

HCL managers and staff are empowered and accountable. We understand and believe in a management process that provides regular progress and performance evaluations based on strict adherence to task plan goals, deliverables that meet requirements, and deadlines. Using the deliverables defined in the RFP, the detailed tasks that are required to create each deliverable have been defined and assigned to project resources. Creating the project plan at the detailed task level allows the project management resources to monitor the overall health of the project and the status of all the core project deliverables.

Implement Best Practices

Our PMM is a roadmap of best practices that focus on mutual, up-front agreement of the project's purpose, approach, and completion criteria. Our project management processes are effectively leveraged through the use of proven methodologies and PM Smart, HCL's automated management tool. This tool

assists in all aspects of project control. It is very important that AWI select a partner for the project who has proven project management processes and tools. At HCL our PMM has been in place and has been successfully used large projects. Our methodology includes sound processes and highly effective project management templates and tools. For the AWI UI project, we will leverage our extensive set of templates and tools throughout the project lifecycle.

Key Strategies of Our Methodology That Will Provide Benefits to AWI

- Our focus is on AWI sponsorship and user involvement, especially during planning, which is essential to project success.
- We have a results-oriented project management approach that requires clearly defined deliverables for each phase in the project.
- As AWI's business partner and leader, our project management resources have the ability to adapt and deal with situations and manage expectations during periods of change, which will be critical to AWI's project stakeholders and the success of a project.
- Our methodology emphasizes communication. We will establish a communication plan at the beginning of the project and ensure project quality through project review and status meetings.

Project Management Methodology Tool

Our PMM tool, PM Smart, contains an extensive collection of tools that enable both HCL and AWI project management resources to effectively define, monitor, and report status on the various project management components. During the Planning phase, PM Smart will be reviewed by the joint PM team to determine which components will be used.

PM Smart Overview

PM Smart is an Integrated Enterprise Framework for Program, Project and Process Management used to manage projects and portfolio in an efficient manner. This strategic platform helps the users to plan and execute the project life cycle in a structured manner. PM Smart captures all the actions, issues, risks and meetings associated with the project, allowing both AWI and HCL staff full transparency as well as providing best practices, successful processes and templates.

PM Smart offers integration with Microsoft Project, where user can check-in, check-out the project plan, add new summary tasks, activities and allocate resources to different activities. PM Smart offers a facility to maintain a repository of Issues, Change Requests, Defects, Risks and Action items logged in the project at one place. Users can assign these change management items to the team members using the workflow feature and also capture effort against these items.

Below is the screenshot of the PM Smart application that helps the project managers and their respective teams in deploying effective solutions:

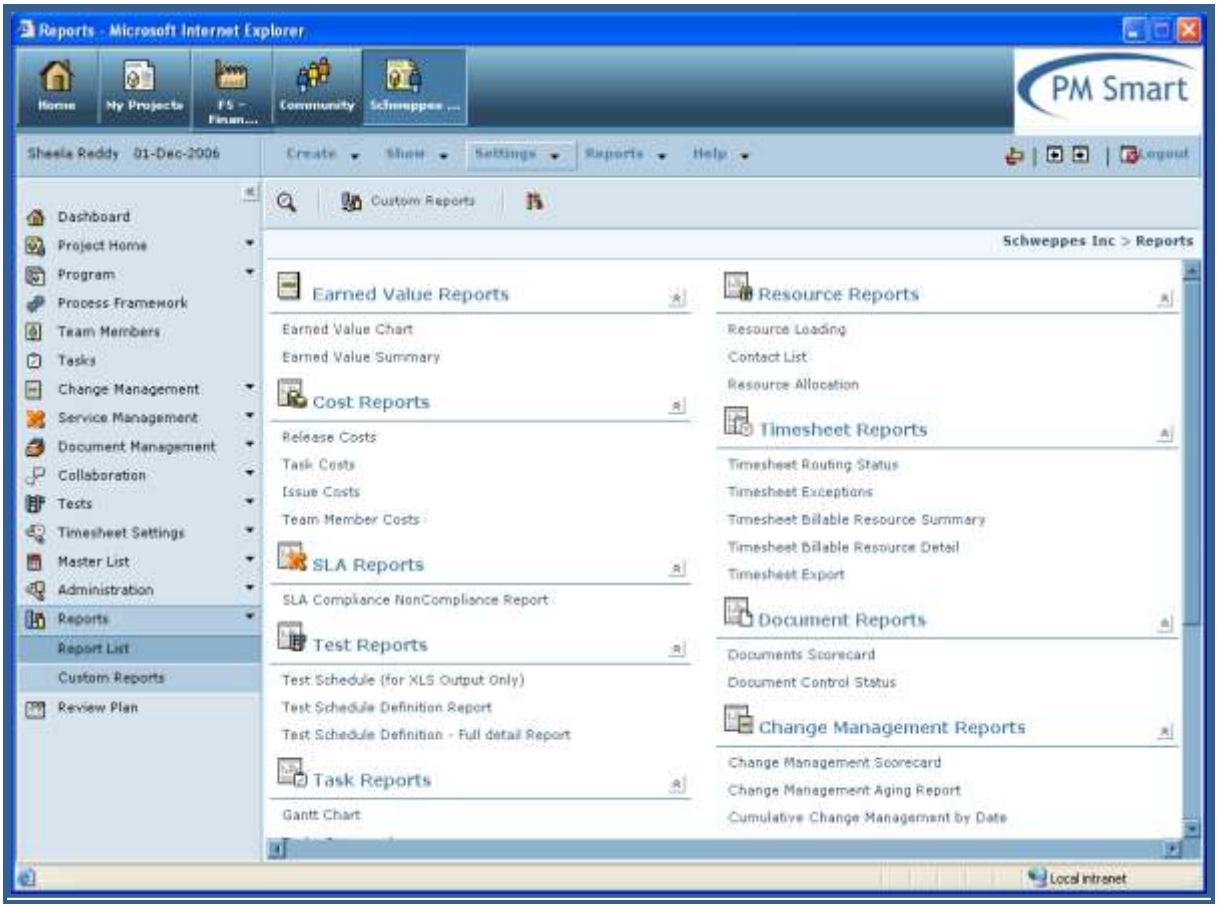


Figure: PM Smart Screenshot

PM Smart offers integration with Microsoft project, where user can check-in, check-out the project plan and add new summary tasks, activities, allocate resources to different activities by using MSP planning engine. PM Smart offers a facility to maintain a repository of Issues, CRs, Defects, Risks and Action items logged in the project at one place. Users can assign these change management items to the team members using the workflow feature and also capture effort against these items.

Key Components of PM Smart:

ITS Portfolio Management: Enterprise Definition, Project Definition, Project Planning and Tracking, Executive Dashboard, Reports.

Project Management: Issues Management, Change Management, Risk Management, Timesheet Management, Document Management.

Software Development Lifecycle Management: Requirements Management, Release Management, Configuration Management, Defect Management, Test Management.

Collaboration and Communication: Instant Messaging / Discussion Forum, Notification and Communication Plan, Meeting Manager.

Quality Process Management and Discipline: Process Management, Project Management, Engineering Management, Support Management, PM Smart Enterprise can accommodate almost any existing software development methodology or process including complex iterative methodologies.

Tool based approach: The tool provides support on all phases of the project lifecycle by providing scheduling, risk management, defect management, effort management, resource management and delivery management support.

The quality plan would be maintained using PM Smart, which would be to the satisfaction of the State of New York Insurance Department's Project Manager, all the requirements and the activities would be listed and tracked by the online tool.

Analysis and Display:

The project metrics goals and actual values of the metrics that have been achieved are displayed in the metrics tracking section. This enables the project manager to review the status of the metrics, analyze the cause of deviations, if any and make the relevant course correction.

A snapshot of the metrics, which are tracked and displayed using HCL's PM Smart tool is provided below:

HCL will view the health of the overall relationship with the Customer as a combination of:

- Aggregate health of all the activities within the relationship
- Relationship management at the senior executive level

The health of each activity within the relationship will be measured utilizing the agreed factors/metrics and the health will be indicated as Green (on track), Yellow (behind plans) or Red (in trouble).

5.3 Project Schedule

HCL is ISO 9001:2000 and ISO/IEC 27001:2005 certified for defining software development and maintenance tasks.

Our software engineering processes are completely process driven and governed by the Organization Management System (OMS) which contains live process areas for each business function. These processes are based on CMM level 5 (highest level in software engineering maturity).

A resource loaded detailed project schedule is included in Appendix 10.5, which includes all the phase gate milestones as well.

5.4 Project Management Plans

During the planning phase of the AWI UI project, the HCL project manager will review, update and acquire approval for the Project Management Plan with the AWI Project Manager and other key sponsors. During this phase, our joint AWI and HCL PM team will determine the key project management components that need to be monitored on the project. The PMP is a dynamic document that will be a guide in decision making and used as a reference by stakeholders throughout the lifecycle of the project. A detailed, comprehensive PMP created and approved by both AWI and HCL ensures that the project management processes discussed below are successfully executed.

Project Management Processes

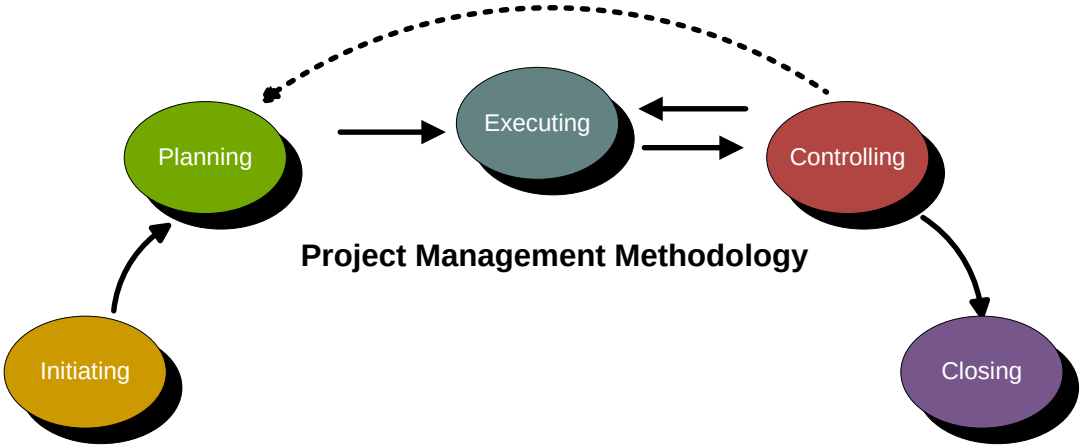


Figure: Project Management Methodology

Initiating: The purpose of Initiating is to establish a business case for a project, with a definite beginning and an end that has a mutually agreed-upon set of objectives and high level deliverables or results. As stated earlier, it is critical that the project management resources as well as the delivery resources fully understand the strategic goals and objectives for the AWI UI System. Since AWI has already completed the first two phases of the project, the goals, objectives, and scope of all phases of the project will be reviewed by the HCL team to ensure a complete understanding of AWI's vision.

Planning: The purpose of Planning is to devise a workable plan to accomplish the business needs that the project was undertaken to address. We will establish mutual agreement on project expectations including scope definition, risk assessments, the communication strategy, project approach, WBS, team composition, work effort and task ownership. After completing the planning activities in the project, the entire team will have a clearly defined project roadmap and the project management framework required to control the project execution.

Executing: The purpose of Executing is to coordinate people and resources to carry out the plan. The primary focus of the project management resources is to coordinate the process and ensure that quality deliverables are produced for and accepted by AWI in accordance to the project scope. Managing issues as they arise and implementing risk management strategies to reduce the adverse impacts is another main objective of Executing.

Controlling: The purpose of Controlling is to ensure that project objectives are met and to monitor and measure progress taking corrective action when necessary. Two contributing factors of unsuccessful projects are the lack of project metrics and the failure to regularly monitor the status using metrics. We take pride in our track record of delivering quality projects on time and within budget. We effectively control projects by establishing the weekly baseline in terms of expenditures and accomplishments. These metrics allow us to assess our progress on a weekly basis by comparing project actuals to the baseline plan. Every project encounters issues. However, our monitoring process provides multiple early warning signs that allow us to be proactive rather than reactive.

Another key component of Controlling is to know what constitutes a change and being able to quantify the change in terms of effort and schedule impacts. If justified, adjustments to the plan and scope are made by repeating the appropriate planning steps to keep the project expectations in line with the changes.

Closing: The purpose of Closing is to formalize the acceptance process of the project or project phase, ensure AWI's objectives are met, and bring the project or phase to an orderly end. Closing steps include generating, gathering, and disseminating information to substantiate completion, resolution of issues, and settlement of the contract obligations.

The sections below describe the sub-components of the Project Plan as defined in 10-ITN-001-SS Exhibit 3, Section D, Exhibit 1, 8.1 Planning

Work Breakdown Structure (WBS)

The Work Breakdown Structure is a tool used to define and group a project's discrete work elements in a way that helps organize and define the total work scope of the project. The project approach and system development methodologies were used to create the WBS below. This will be used in the development of the Project Schedule.

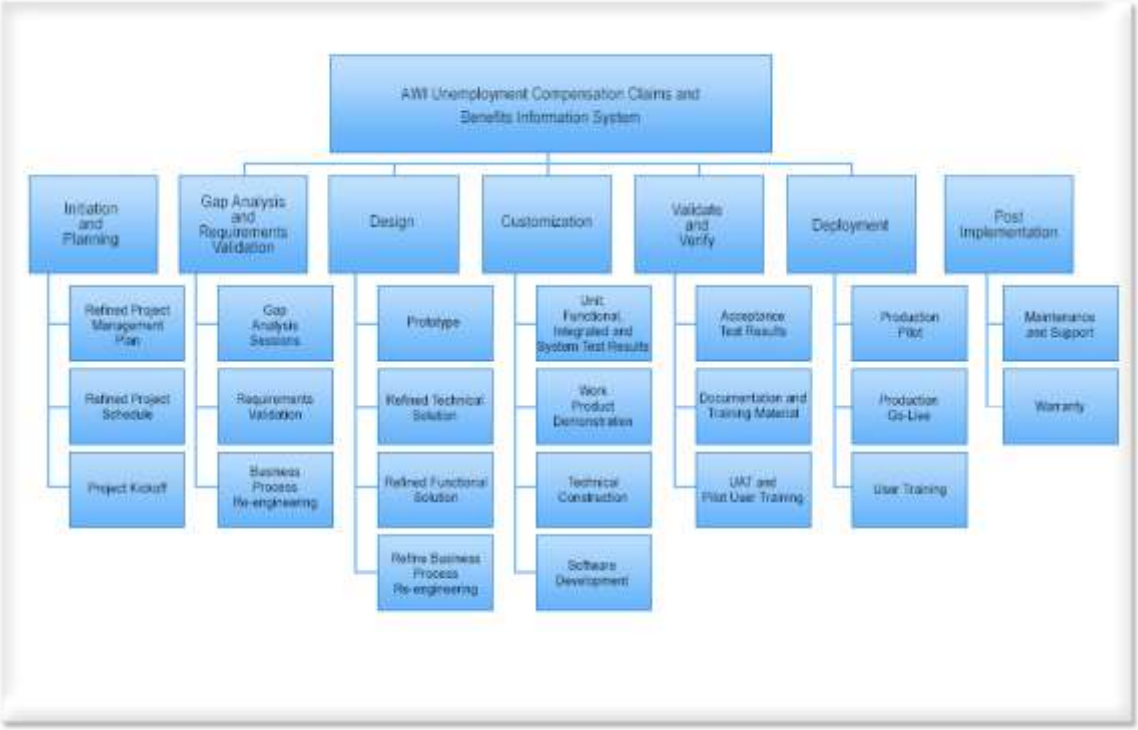


Figure: Work Breakdown Structure

Organizational Breakdown Structure (OBS)

The Organizational Breakdown Structure (OBS) shows the structure of the AWI project and the relationships between roles.

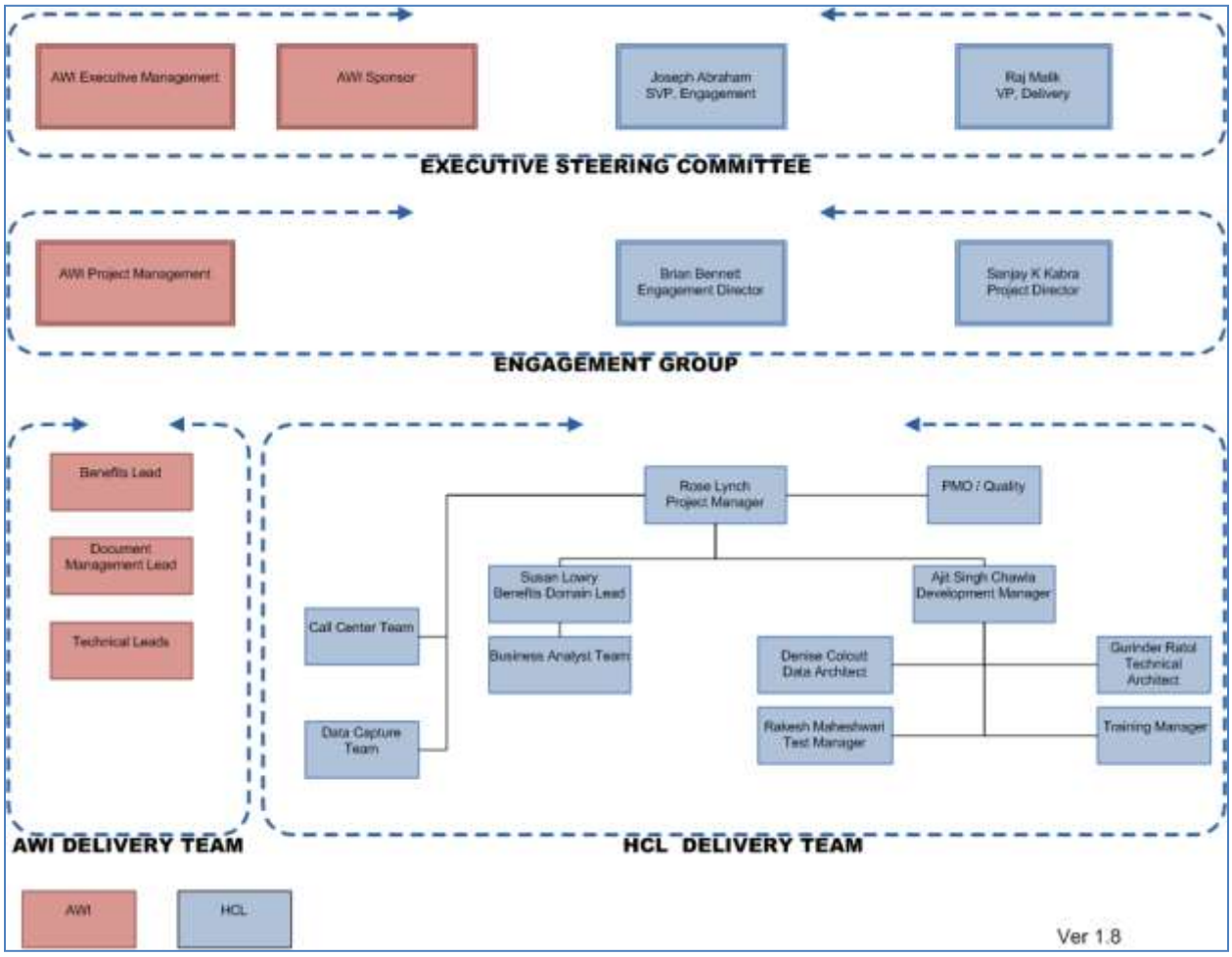


Figure: Proposed Organizational Breakdown Structure

Communications Plan

Executive Summary

The focus of the Communication Plan is to detail the approaches and mechanisms used to ensure effective communication regarding project activities and progress, promoting clear visibility into the projects' health at any point in time. HCL will work with the AWI Project Manager to leverage existing communication mechanisms, using lessons learned from other projects to identify any specific improvements. The Communication Plan provides a clear understanding as to what will be communicated, who will receive the communication, how often will the different types of communication be distributed and/or shared, and what method will be used to deliver the communication. HCL emphasizes the two-way nature of communication, and the integration of communication among project teams and stakeholders as an important enabler in the critical areas of the project.

A comprehensive Communication Plan, along with the end user training program and a user support program, enables effective organizational change management required to transition to the new AWI system. End user training and support are addressed in Section 9.0 of the 10-ITN-001-SS Exhibit 3. Internal and External communication fosters as sense of team, maintains morale and reduces mistakes

and rework by providing fact-based documentation. It establishes a history of the project. that will support effective knowledge transfer, that can also benefit other projects. Ensuring that all key stakeholders have timely and required information to make any needed business and technology decisions allows for structured feedback, promotes an ownership stake in the project success, and reduces potential barriers to the acceptance of the solution by all stakeholder groups.

Communication Management Processes

Analysis and Assessment

The initial step in establishing an effective distribution structure is to conduct a comprehensive internal and external stakeholder analysis. During the project planning phase, specific communication mechanisms and frequencies will be adopted to support the various needs of different audiences, promoting clear visibility into the project, as well as providing accurate information to facilitate effective business decisions.

Communication mechanisms can include the following:

- Project Management Team Meetings
- Team Status Meetings
- Status Reports
- Memos
- Newsletters
- Executive Correspondence
- Meeting Notes
- Executive Meetings
- Steering Committee Meetings
- Project Dashboard.

Each stakeholder and stakeholder group will be assessed to determine what information they need and the most effective vehicle of communication to meet their needs. State and federal guidelines/regulations will be considered during the analysis. A distribution matrix will be created as the analysis is completed.

Additional communication tools can be included to support organizational change management, such as:

Intranet communications – such as the establishment of a web-site (or blog) that provides information on the progress of the project, facilitates feedback, and provides insight into what changes will occur and how they will affect the AWI staff and their customers.

Question and feedback opportunities through utilization of a Question and Answer e-mail box. This tool enables staff members to ask questions and provide feedback on concerns and issues within their work environments.

Periodic awareness campaigns, including the development and use of town hall meetings, events, and/or celebration.

Through the project organization structure, our goal is to blend the participants from all parties into a unified, cohesive team with close coordination between the HCL team members and AWI's resources, in the managerial, functional, and technical areas.

Project Documentation

Existing AWI documentation guidelines to establish standards that promote uniformity in the construction of project templates, and the resulting project work products will be used. The project information will be stored in the project's document management system, MS SharePoint, with access limited to the appropriate AWI and HCL staff. This will allow information to be accessed as required, rather than

waiting for regularly scheduled communications. The HCL Project Manager will work with the AWI Project Manager to define the electronic filing structure, and to identify who will maintain the documents and who can have read only access. Access rights to PM Smart will also be determined during this process. The Document Management Plan provides additional guidance regarding project documentations.

Meeting Communication

Formal meetings have their place and should be conducted in an efficient manner. These types of meeting are one of the main forums for communication on a project and will occur throughout the project lifecycle. These meetings will require a disciplined approach to ensure that there is a need for a meeting, that the meeting is focused on clear objectives and the right people are in attendance to address the topic.

Meeting management related to more formal project meetings is important for achieving effective communication, and facilitates the accurate capture of key decisions, issues and action items, and the risks associated with a project. Meeting management also provides important tools to promote the effective utilization of key personnel, and provides a foundation for sound knowledge transfer.

Despite the importance of meetings, the need for a meeting should be carefully assessed and the required participants determined. It is important that meetings do not negatively impact daily operations or onerous time commitments of participants.

Regularly scheduled meetings will be identified during the planning stage of the project, and the Communication Plan will be updated accordingly. The structure, participants and timing of standing meetings and formal reviews will be detailed at that point. This will permit AWI personnel to identify any potential conflicts early on.

One of the key mechanisms for supporting effective meeting is the development of agendas and the documentation of minutes. Prior to any meeting a detailed agenda will be issued to those who should participate. The agenda will summarize what will be covered and the time allowed for the various topics. By clearly stating the purpose, topics and timeframe, participants can use their time productively to prepare prior to the meeting, resulting in a more efficient use of time as well as resolutions to issues.

Any topic brought up that is outside the scope of meeting may result in a follow-up meeting being scheduled with a separate agenda constructed, and applicable to only those with stake in the topics. Once the meeting has concluded, the minutes to the meeting should be constructed and distributed to the participants of the meeting for review/approval. This process promotes another validation that the decisions made, and ensures that the action items and issues are captured completely and accurately. The dissemination time for minutes should be within two business days.

Meeting minutes support sound documentation practices that memorialize the decisions made during the course of the meeting, and agreements on actions to be taken and/or issues to be addressed. It also provide an important communication vehicle, not only for attendees in the meetings, but especially for those who did not participate to enable them gain a perspective on the topics discussed and the decisions made.

Schedule Management Plan

Executive Summary

The Schedule Management Plan establishes how schedule management will be carried out in the project. It serves as guidance for the scheduling processes and formats, and defines the roles and responsibilities for stakeholders in those processes. It is not the detailed schedule information, but instead explains how that information will be developed, updated, and maintained. During the planning phase of the project, the joint PM team will update and approve the following:

Descriptions of required documents (e.g., network diagrams, Gantt charts, milestone charts), as well as details on how those documents may be developed.

Define the scheduling process that provides descriptions of how the schedule and its components will be generated. The process includes information on when the schedule should be baselined and when certain types of documents (e.g., milestone charts, team calendars) should be updated.

Responsibilities that will reflect who will be accountable for schedule updates and for capturing real-time information on project and task performance. This may also include who is in charge of the scheduling tools and who is conducting data entry.

Details of how and when the schedule may be adjusted. The Change Control Plan could impact these details as well as be affected by them.

Quality Management Plan

Executive Summary

The Quality Management plan is used to focus on critical components of project success -- project performance and product quality. Quality Management permeates all aspects of the Project Management and Solution Methodologies from scope definition and project plan development through test and implementation of the system. It provides for the objective review of activities and work products for their adherence to applicable requirements, process descriptions, standards and procedures. Throughout the project, the project management and quality resources shall perform periodic reviews of project processes, making sure that the team is performing work using the appropriate standards and procedures. Execution of the Quality Management Plan enables prompt recognition of quality problems, and effective project control and resolution of those problems.

PM Smart is the HCL tool utilized for providing dashboards and the mechanism for capturing and presenting the metrics. PM Smart includes a large metrics inventory allowing the PM team to select metrics specific to the AWI project.

Quality Management Processes

Quality Standards

Quality standards allow project work product owners and reviewers to identify deficiencies in work products and deliverables early in the project lifecycle. Early identification of quality issues can reduce re-work and avoid the increased cost burden of discovering issues in later development phases. The quality metrics identified below are a sample of the metrics used as references during the work product creation process, and provide the basis for the work product's quality assessment. During the planning phase, these metrics will be tailored to AWI's specific requirements. As the project moves forward, additional standards can be identified and added to the Quality Management plan using the standard revision process.

Project Level Metrics		
Metrics Category	**Metrics**	**Metrics Objective**
Quality	Residual defect density (Number of customer reported defects)	To monitor the quality of the delivered product

Project Level Metrics		
Metrics Category	**Metrics**	**Metrics Objective**
	Product quality characteristics (Suitability, maintainability and reliability of the product)	To check the level of conformance with respect to the defined non-functional characteristics of the product
Schedule	Schedule variation (Percentage variation in project schedule)	To ensure on-time delivery and compliance with required service levels
	Percentage of requests serviced on time	To ensure on-time delivery
Cost	Effort variation (Percentage variation in effort)	To control and minimize variation in budgeted efforts
	Budget versus actual cost for work in progress (earned value management)	To track and minimize variation in budgeted cost versus actual work produced
	Estimate at completion (EAC)	This metric provides a forecast of most probable total project cost. This is given as the sum of actual to date (AC) and estimate to completion (ETC)
Project Management	Risk mitigation index (Measure of the risks mitigated to a lower priority)	To monitor and control critical risks in the project
Account Management	Number of issues escalated to HCL's Account Director	To measure the number of issues that cannot be addressed at the project level
	Average time to resolve issues	To monitor the timeliness of issue resolution
Customer Service	Customer satisfaction index	To monitor and improve the level of customer satisfaction
	End user satisfaction index	To monitor and improve the level of end user satisfaction
	Number of process improvements implemented	To measure value additions to the customer's existing processes/applications, etc.

Quality Assurance (QA)

Quality activities can be divided into two categories: 1) those that ensure the quality of the processes used to produce deliverables; and 2) those that ensure the quality of the deliverables themselves.

Quality Process Assurance

Quality Process Assurance activities focus on the processes being used to plan and produce the deliverables. It ensures the project will satisfy the approved quality standards and processes. HCL's internal quality assurance team will review all deliverables prior to submission to AWI. The output of Quality Process Assurance includes quality review reports, non-compliance documents, and related statistics and will be made available to AWI as requested.

Quality Product Assurance

Quality Product Assurance is performed continually to verify that project work products and project deliverables meet or exceed approved quality standards. Quality Product Assurance also helps uncover causes of unsatisfactory results and establishes lessons learned to avoid undesirable results in the future. Output of Quality Product Assurance includes defect reports, customer acceptance documentation, and related statistics.

Throughout the project lifecycle the HCL project team will perform Quality Process and Quality Product periodic reviews making sure that the team is performing work using the appropriate standards and procedures as well as satisfying scope requirements. Tasks for QA Activities will be included in the project schedule. Issues resulting from these review process will be logged into the issue tracking system where the resolution, staffing and schedule will be managed. As each review is completed, quality assurance reports will be generated.

Quality assurance activities can include the following:

- Documentation Reviews
- Software design Reviews
- Code Reviews
- Defect Reviews
- Approval Processes Reviews
- System Testing Reviews
- Quality Checklists
- Peer Reviews
- Schedule Reviews
- Project Audits
- Process Audits
- Corrective Action Reviews

Quality Control (QC)

The quality control function provides the framework for assessing the effectiveness of the project implementation. A systematic approach to quality management practices ensures that the execution of the project conforms to documented plans. It focuses on ensuring compliance to established project standards for work performed and making corrections when deviations are identified. It will also detect processes that need improvement and make adjustments to improve outcomes resulting in a successful

project. All scheduled quality-related activities such as periodic process audits and inspections shall be incorporated into the project schedule.

Information from the Quality Management activities will be periodically reviewed to detect variations from the results expected and the results produced. This QC process will result in prompt recognition of quality problems through variance analysis and lay the groundwork for resolution through effective project control. The source of the problem will be identified through analysis, interviews, discussions, inspections, and observations.

Once the source of the problem is determined, project management will identify the appropriate resolution. If the individuals doing the work are the issue, the performance of the work team will be addressed and resolved. If inputs to a process are faulty, resolution will require more focused monitoring and control of those dependencies. Other situations may require an adjustment to the tools used in the development process. If the project team suspects the process itself to be the problem, a process audit and improvement process may be initiated.

Issues resulting from this review process shall be logged into the issue tracking system. As part of the issue management process, issues are prioritized according to the project plan and objectives and then monitored to resolution. Depending on the issue resolution recommendation, the team may find it necessary to document a change request and obtain approval through the change control process. Once the appropriate authorities approve the resolution approach, the team implements the resolution, and the Project Manager and QA Manager monitor the process to ensure expected outcome improvements produce the results expected.

Issue Management Plan

Executive Summary

The purpose of issue management is to ensure visibility, ownership, and appropriate resolution of issues during a project. By surfacing issues, the team can proactively determine the necessary action plan to minimize the impact to project tasks and / or deliverables.

An issue can be defined as a condition that exists (or may exist) that could change the assumptions, requirements, or constraints for the project or that could cause a re-evaluation of the project's processes. Therefore:

- Unresolved issues may expose a project to risk.
- Failing to address issues on a timely basis shortens the time that management has to execute corrective action and allows the conditions in need of correction time to grow. This in turn can significantly increase the chances of project failure.
- Trends in issue aging and volume indicate the project's correctness, risk, and progress.

An issue is distinct from a potential defect in the product. Defects are tracked in the Configuration Management software.

A formal process for issue management helps minimize project surprises and establishes an escalation procedure. The PM Smart tool can be used to manage issues.

Issue Management Processes

Issue Capturing

Throughout the project, different stakeholders will surface issues that must be resolved before a task can progress and / or close. Examples include:

- Technical Team Members

- Subject Matter Experts
- Project Managers
- Sponsors
- End-User Representatives.

The AWI Project Manager and Sponsors should bring a potential issue to the HCL Project Manager for review. Technical Team members, Subject Matter Experts and End Users should bring a potential issue to the attention of the team leader for their area. The team leader will review and determine if it is a valid issue. If the issue is valid, the team leader will bring it to the attention of the Project Manager. Both the HCL Project Manager and team leader will reply back with a status via email to the person that brought up the issue. If the issue is valid, it will be added to PM Smart. If the team leader or Project Manager decides the concern is not a valid issue, they will document why in the email. If there is a disagreement, the Conflict Resolution Plan will be followed.

Once an issue has been determined to be valid, the Project Manager will work with the team lead for that area to identify an issue owner, document the issue details, and ensure the issue is logged in the project's issue repository. PM Smart allows the information required to open an issue to be configured based on AWI's requirements.

Issue Creation Guidelines

Each issue should be specific to one item. If an issue has multiple components, they generally need to be separated into individual issues. The "master" issue can be an overview of the components that is referenced in each individual description.

The issue owner should be a specific name of a person, not an area or group.

The prioritization for resolution is generally high, medium or low, but can modified to meet AWI's requirements. Impact to the schedule, level of effort, cost and overall affect to the project success are factors that will be used to determine the priority of a particular issue.

The potential solution should be extremely detailed, to enable the immediate resolution as well as providing documentation if the issue is brought up at a later date. A separate document can be created and referenced if necessary.

The target resolution date should be a specific date.

Issue Resolution

After an issue is assigned to an owner, the owner will analyze the issue for possible resolutions, including the effort and resources required for each resolution. During issue analysis, the issue will be worked to resolution and the owner will provide status updates throughout the issue lifecycle.

After an issue is resolved, the issue owner will ensure the resolution description and resolution date are captured in the PM Smart. The AWI and HCL Project Managers will confirm that the issues within their purview are properly resolved and then approve them for closure.

Issue Tracking

Issue tracking involves the assessment of the project plan to determine issue impacts, issue escalation, issue reporting, and issue maintenance.

The Project Manager will also assess the project plan to determine the impact the unplanned issue has on the schedule and budget. If any of the following occurs, the Project Manager will document a change request:

- The issue owner needs to conduct research and this research will impact the project schedule and / or budget
- The issue owner requires additional resources to resolve the issue
- The schedule and / or budget is impacted by working on the issue

As needed, the Project Manager will add tasks to the project plan to ensure all time spent working the issue is tracked and logged.

Escalation

Refer to the Conflict Resolution Plan for details.

Reporting

The HCL Project Manager will be responsible for ensuring that all team members, sponsors, and stakeholders are kept abreast of the current status of all project issues. All significant issues will be discussed during project status meetings and Steering Committee meetings. The Communication Plan will document the distribution as well as included information. Additionally, the PM Smart dashboard includes an Issue Summary will be included with every Project Status Report. The summary will include a brief description of each issue, the potential impact to the project, the status, the target close date, the actual close date, and the issue owner.

Scope Management Plan

Executive Summary

The written scope statement is a document that serves as input to project planning efforts. It is the collection of processes which ensure that the project definition includes all the work required to complete it, while excluding all work which is not necessary to complete it. The Scope Management Plan details how the project scope will be defined, developed, and verified. It clearly defines who is responsible for managing the project's scope and acts as a guide for managing and controlling that scope. A thorough, accurate, precise and mutually agreed upon Scope Management Plan dramatically reduces the risk of scope creep. The scope statement should include:

- Business needs the project will address
- What the project will accomplish
- How it will be accomplished and by whom
- A list of project deliverables that indicate project completion once they are produced and accepted
- A list of those items/ deliverables that are not in scope for the project.
- How the scope is measured and verified.

The joint PM team must be specific about what is in scope and what is not in scope. The weaker the boundaries are between the two, the more difficult it will be to affect the change control process if required later in the project. Finally the scope management plan must include the critical success factors of cost, schedule, and quality measurements that determine the degree to which a project was successful.

Project Scope Management follows a four step process detailed below. During the planning phase of the project, the PM team will work together to review and agree to the scope components needed to meet AWI's project deliverables.

Scope Management Activities

Collect Requirements

This first step is the process by which the joint PM team defines and documents the requirements needed to meet all project objectives. The foundation of this process is the Project Charter and Communication Plan. From these, the team can identify requirements, collectively discuss details associated with meeting each requirement, conduct interviews and follow-up discussion to clarify the requirements, and document the requirements in sufficient detail to measure them once the project begins the execution phase. This documentation also serves as an input to the next step in the process which is to define scope.

Define Scope

This step is critical to project success as it requires the development of a detailed project description to include deliverables, assumptions, and constraints and establishes the framework within project work must be performed.

Verify Scope

This is the process by which the project team receives a formalized acceptance of all deliverables with both the AWI and HCL sponsors.

Control Scope

This is the process of monitoring and controlling the project scope as well as managing any changes in the scope baseline. Changes may be necessary to the project scope but it is imperative they are controlled and integrated in order to prevent scope creep.

Risk Management Plan

Executive Summary

Risk management is an essential component in project management methodology and overall project success. Managing risk is the key to meeting the schedule, cost, and quality goals of a project. Rapid and ongoing identification of risks increases leverage for a Project Manager by maximizes the time available to assess offsetting strategies for effective mitigation. Focusing on quantification of risks ensures that attention and resources are drawn to those risks presenting the greatest and most likely threats to project success thus facilitating contingency planning.

A risk is defined as an event or condition that may cause a negative effect on the project. Risks are measured in terms of cost/schedule/quality (impact) and the likelihood of the condition or event occurring (probability).

The Risk Management Plan includes steps on how to identify, analyze and respond to risk factors throughout the life of the project. The HCL PM Smart Tool can be used for risk identification and monitoring.

Risk Management Processes

Identify Risk

The project team should search for and locate risks before they become problems. Project sponsors, customer representatives and resources with historical knowledge of similar projects should be contacted for input into risk identification. Once the first risk is identified (which could be during project pre-planning), the risk management plan should be considered in effect until the end of the project.

Analyze

Performing an in-depth analysis of a risk is a activity critical to successfully managing risks. The purpose of the analysis is to transform risk data into decision-making information by evaluating impact, probability, and timeframe so the risk can be qualified and quantified. The following major activities occur during risk analysis:

Probability – The probability of occurrence of identified risks and its impact on the project will be analyzed on a regular basis. A value should be associated with a risk occurring within the timeframe noted and under the impact noted when the risk is identified. The table below can be used as guidance for defining the probability value of a risk.

Probability of Occurrence	Probability Rating
Less Than 30%	0.1
30% - 49%	0.3
50% - 69%	0.5
70% - 89%	0.7
90% and above	0.9

Impact – Project impacts can be measured in several ways, but the key indicator to the impact of a risk is that it will cause the project to be non-executable or will breach the baseline. Breaching the baseline might include impact to previously approved deliverables (including documentation and/or software) and other items within the baseline. The following table can be used for calculating the risk impact.

Impact Rating	Cost	Schedule	Scope	Quality
1	Insignificant	Insignificant	Barely Noticeable.	Barely Noticeable
3	< 5%	< 5%	Minor	Few applications are affected

5	5 – 10%	5 – 10 %	Major	Quality Issues requires client approval
7	10 – 20%	10 – 20%	Unacceptable	Unacceptable to the client
9	> 20%	> 20 %	Ambiguous Req. and End deliverable is not clear	Unacceptable to the client.

Timeframe – The date when a risk will become an issue needs to be identified. Adjustments and milestones can worked backward from that date during the mitigation planning step.

Manage

Managing risks involves close attention to determining risk exposure as it relates both to the day-to-day operation and the project's long-term health. Three major activities include prioritization, assignment, and control:

Prioritization – Large-scale projects and inherently risky projects tend to create numerous significant risks which must be individually tracked. Prioritization of these risks is paramount in that either un-prioritized risks, or risks that all carry top priority (which is the same as being un-prioritized), cannot be effectively managed or controlled. Without specific assignment and control of risks and a clear understanding of exposure in the event a risk becomes a threat, risks will appear to lay dormant until the moment they bring the project to an early demise. When prioritizing risks, the joint PM team should carefully consider the output from the Analyze step to prioritize accordingly. If a risk has a high probability of occurrence, but the potential impact is small, then it should be prioritized below a risk that has a medium probability of occurrence with the potential for a large impact (if both risks have the same timeframe). PM Smart calculates the prioritization based on the probability and impact ratings assigned to each risk. Once the risk index is established the following table is used:

Risk Index	Risk Prioritization	Extent of Planning
Risk Index < 0.7	Low	No explicit mitigation plan will be identified No explicit contingency plan will be identified Risk will be accepted as and when encountered
0.7 <= Risk Index < 3.5	Medium	No explicit mitigation plan will be identified Contingency plan will be proposed
3.5 <= Risk Index < 6.3	High	Mitigation plan is not mandatory, but may be identified Contingency Plan must be identified

Risk Index	Risk Prioritization	Extent of Planning
6.3 <= Risk Index	Extreme	Mitigation plan will be mandatory Contingency Plan will be mandatory

Assignment – Risk assignments should be both formal and timely. Once a risk is identified, a risk owner should be assigned immediately so that the risk can be successfully managed.

Control – Risks should be monitored and tracked using volume and aging metrics. Care should be taken to correct for deviations from the risk mitigation plans. PM Smart provides a dashboard that can be used for monitoring. Risks will be monitored regularly with three primary objectives.

- To assess whether a predicted risk does occur
- To ensure that risk mitigation steps defined for the risk are being properly applied
- To collect information that can be used for further risk analysis.

Mitigation Plan

Risk management planning is used to translate risk information into decisions and mitigating actions (both present and future) and to implement those actions. The extent of risk planning will depend on the priority of the risk. Every risk for which a mitigation plan is identified, the cost of the risk (if encountered and not mitigated), cost of the mitigation plan and the Cost benefit ratio of Cost Benefit Ratio=Cost of Risk / Cost of Mitigation Plan. The joint PM team will work together to determine the thresholds of CBR that will be used in the strategy. The joint PM team will consider the following items when planning for the actions to be taken to avoid, mitigate or accept each risks.

Strategies

Each risk should have a clear strategy for resolution, plus alternative strategies, and triggers for their adoption. Each alternative should also contain a risk assessment so that the risk alternative does not cause an additional risk fail-over.

Metrics

Each risk should be tracked for particular milestones from the date of risk identification until the date of resolution. Merely stating the date the risk must be resolved but no interim progress date is a symptom of poor planning. Progress milestones for risk resolutions should span no more than 10 days.

Monitoring

Monitoring risks is more than stating that some number of risks has been identified. Such reporting is usually the state of the project, but is by no means sufficient in providing adequate risk management for projects. PM Smart includes a risk tracking tool. The following activities should occur for tracking risks within projects:

- **Progress** – Steps to mitigate risks are examined to ensure that the mitigation strategy contains tasks that are both measurable and consistent with the project schedule. Progress of planned versus actual steps for risk mitigation should be measured on a weekly basis to ensure progress actually occurs in these critical areas.
- **Triggers** – Triggers for each risk should be identified and date of the next trigger event tracked. Triggers should be established for the each risk:
    - Date a risk will transition to next higher level
    - Date an alternative mitigation strategy will be invoked
    - Additional triggers could include:

- Date a risk will transition to next lower level
- Date of risk resolution +/- 30 days' status.

- **Status** – Risks should be reviewed at weekly or bi-weekly staff meetings, in formal reviews, and any time triggers are modified and critical in nature.
- **Report** – Risk management activities are recorded in the schedule the same as any of the other project tasks with planned versus actual progress measured accordingly. PM Smart is available for stakeholder reporting as needed.

Resource Management and Staffing Plan

Executive Overview

The Resource Management Plan is the process for managing the allocation, application and utilization of resources through out the project life cycle. A detailed plan ensures that all of the resources needed to complete the project are identified. During the planning phase of the project, the PM team will create a comprehensive Resource Plan that indentifies the resources and utilization as needed to complete the project.

Configuration Management (CM) Plan

Executive Summary

The Configuration Management (CM) Plan provides technical and administrative direction throughout the development lifecycle related to software, hardware and document changes. It serves to organize and control evolving software, and to maintain an auditable and repeatable history of the project's source files and software builds. It also provides an audit to the configuration items to verify conformance to specifications, interface control documents, and other contractual requirements. In addition it includes configuration management of the hardware and software. The primary objectives are to:

- Provide a secure environment in which to store and manage project artifacts
- Control changes to software, hardware, and documents.
- Create baselines of artifacts at project milestones
- Document and track all project-specific environments and databases
- Associate requests for change and system defects to particular software versions
- Enable safe, concurrent changes to artifacts
- Support configuration management reporting
- Provide ability to reproduce software builds
- Organize software artifacts into higher-level components.

Additionally, CM can effectively mitigate certain software development risk factors. Configuration management has evolved to address certain software integrity issues, specifically risk. Most of those identified risks can be mitigated by adherence to configuration management principles that can be reduced to a small set of generalized risks factors, such as failure to identify work products that need to be controlled, failure to baseline controlled items, and failure to use the correct/complete baseline version. In addition, the specific risk factors include failure to track problems, failure to inform management, and failure to use version control tools. These risk factors map directly to CM activities.

Configuration management focuses on managing physical changes to the project artifacts, and identifies and protects the software throughout the development lifecycle, promoting effective integration of

software components. These two critical practices work together to ensure that change is managed in a controlled and disciplined way. Below is a conceptual overview of the Configuration Management process.

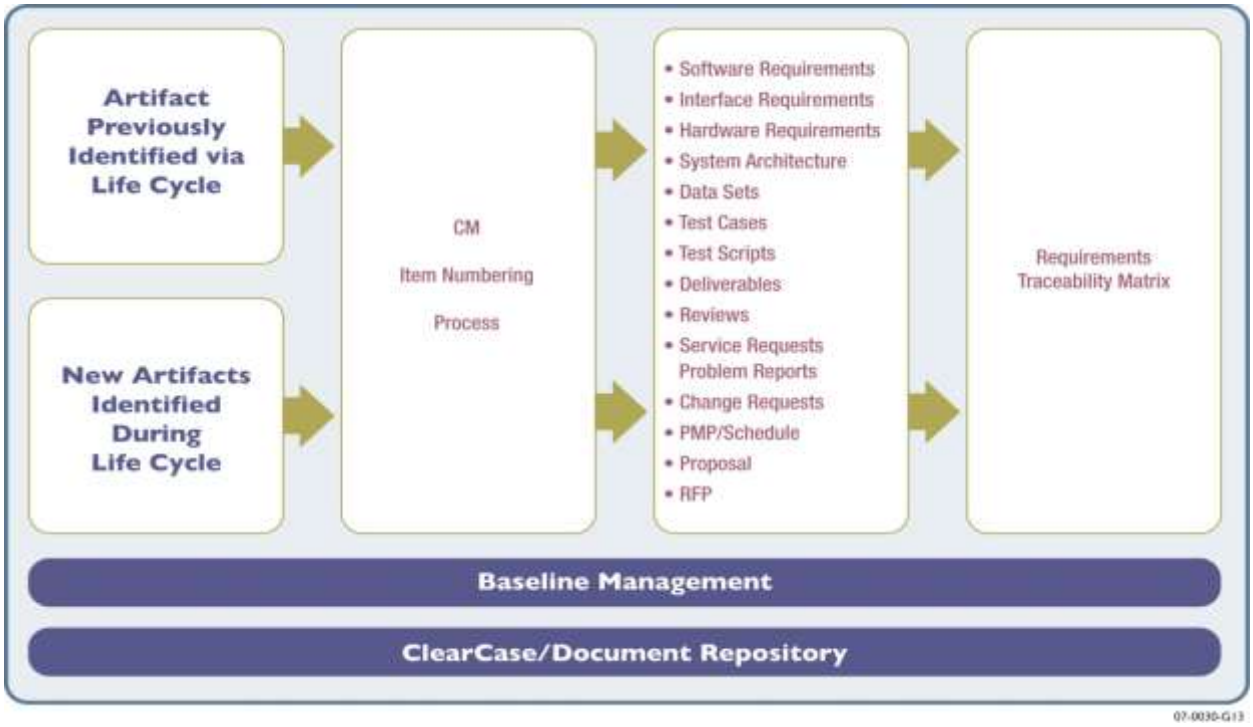


Figure: Configuration Management Model

It is critical to the success of the project that AWI Project Management and the HCL team work in concert to establish a solid strategy and process to manage configuration items and changes to effectively control the project. The Configuration Management approach will be reviewed and approved in conjunction with AWI project management during the project planning phase. The CM process defines how the change will influence the baseline specifications, provides documented traceability, and becomes part of the permanent documentation that serves as the audit trail.

Configuration Management Approach

HCL follows a formal approach to configuration management illustrated below

FigureF

Figure: Configuration Management Process

Configuration Management Processes

This recommended approach to the CM process is composed of the following major components:

Develop a Plan to Support CM Activities

- Outlines the strategy and underlying processes to support effective CM
- Incorporated into the PMP.

Establish Configuration Management System (CMS)

- Establishes an environment which project baselines are controlled
- Includes media, procedures, tools
- Maintains system throughout the lifecycle
- Multiple levels of control
- Storage and retrieval of Configuration Items (CI)
- Sharing and transfer of CIs between control levels
- Archive and recovery of versions
- Storage, update, and retrieval of CM records
- Creation of CM reports
- Preservation of contents
- Revision of structure of system as needed.

Perform Configuration Identification

- Identifies, classifies and documents project configuration items.

- A proper configuration identification schema identifies each component and provides traceability between the component and its configuration status information
- As lifecycle progresses, repeats configuration identification as actual code units are identified.

Establish Project Baseline

- Provides a mark of progress and a gauge to impact of change
- Represents set of specifications or products that have been formally reviewed and agreed upon
- Serves as basis for further development
- Can only be changed through formal change control procedures
- Incorporates software work products at predetermined points as specified in project plan
- Provides stability and control to the project
- Along with approved changes, provides current information about configuration of the product.

Plan for Documentation Management

- Per AWI's requirements, a plan for Document Management is a separate component of the Project Management Plan.

Create or Release Baseline

- Creates a formal baseline as work products are formally reviewed and agreed upon
- Places work product into Configuration Management System (CMS)
- Releases the baseline, which involves retrieval of confirmation items from CMS (a software baseline is called a release, and an internal use baseline is called a build)
- Documents the promotion and versioning of configuration items.
- Documents the release and delivery of configurable items and related documentation.

Perform Scope Change Management

- Follows scope change control process contained in Project Management Plan
- Provides an effective and rigorous approach for the creation, review, analysis, and approval of change requests
- Establishes steps to control configuration items:
    - Obtain proper authorization before the configuration item is entered into CMS
    - Check in and check out the configuration item from CMS following procedures documented in the PMP
    - Record changes and reasons for change to the configuration item
    - Review changes to see that they have not caused unintended effects.

Perform Configuration Status Reporting

- Provides reports indicating the content and status of configuration items
- Provides information to the project manager on project status, current project activity, and potential future activity.

Our experience in CM has indicated that there are several key success factors for implementing a CM process. The process should be:

- Be simple and straightforward
- Provide a complete record of all changes approved for implementation
- Be consistent with the culture and requirements of the project
- Be supported by the methods and tools of the project

- Provide for the tracking of progress and request for new features.

Knowledge Management Plan

Executive Summary

Transfer of knowledge on a project of this scale and importance cannot be achieved just through lectures, presentations, slide shows, or even text books. Rather, knowledge transfer must be achieved through clearly defined windows of communication; candid but focused dialog between the AWI and HCL, where both parties listen and readily share their knowledge, perspectives, and wisdom; and through plans and processes that optimize this exchange.

By implementing the Knowledge Transfer Plan HCL will ensure that identified AWI staff is properly trained, and have the necessary skill sets to support the system as each deliverable is turned over, and after the Contact Agreement has expired.

Knowledge Management Processes

The 2-Way Transfer of Knowledge

Even though the purpose of this plan is to serve the needs of AWI to become self-sufficient , it is important to articulate how much knowledge HCL will receive throughout this project from AWI workers schooled in the business of Unemployment Compensation in the State of Florida. This includes rules, regulations, mandates, and requirements unique to AWI. In turn, the knowledge the HCL Team receives will be reciprocated during the course of the project, leading to a successful solution that will benefit citizens, claimants, employers, and AWI workers through the implementation of a modern, stable, flexible, and powerful UC application.

The Knowledge Transfer Plan requires a detailed, collaborative planning effort with AWI during the initial phases of the project to lay out the right knowledge transfer approach for the UI project. From the beginning of the project, the HCL Team will work with the AWI staff to facilitate the knowledge transfer process.

AWI Participation in Key Aspects of the Development Life Cycle

For many AWI employees, the process of moving from a mainframe environment to a client/server environment—where user interfaces are more sophisticated, have more functionally rich features and more navigable—will be a new experience. But it's an education they will learn from the ground up as they take an active role in requirements gathering and design sessions. By seeing first-hand how requirements are captured and specifications are refined, the understanding gained will contribute to employee buy-in. This will be consolidated by frequent demonstrations of the iGOVERN™ application in various stages of completion.

AWI Technical Staff Works Side-by-Side with Designers/Developers/Testers

We recommend AWI to engage a small group of their technical staff in the programming and coding of increasingly more complex features and functions in the software. This staff will become an integral part of our design, development team, and will participate in technical meetings, system status reports, and problem solving sessions. AWI programmers, following the protocol of assigned tasks, version control, and configuration management, will initially fix simple IRs (software bugs), then take on increasingly more complex software correction tasks.

To prepare AWI programmers for their foray into corrective coding, the HCL Team will conduct a tutorial for all participants, explaining how the tools are to be used and the processes that are to be followed. Here is a sampling of the tasks AWI programmers will be asked to perform.

- Install a sample application
- Fix a build error
- Fix a run-time error
- Add fields to a web component
- Add a new screen
- Add a new service
- Write a unit test script.

In addition to developers, HCL also recommends including a technical architecture resource and database administrator on the team. Involving resources from all technical domains throughout the life cycle will facilitate achieving AWI's goal of internal management of the system.

Project Deliverables and Practices Empower Self-Sufficiency

Project deliverables are more than a library of contract-required documents, destined to sit on a book shelf or be loaded onto a CD-ROM. Project deliverables, especially ones designed to instruct system support resources and internal users in the operation, maintenance, and enhancement the solution, are remarkably "live" and useful sources of knowledge. Examples include ongoing quality assurance standards; how to prepare for and implement disaster recovery measures to keep services moving: or how to maintain system and data security to ensure that no one is able to gain unauthorized access to proprietary information.

Throughout the project, designated AWI technical staff, and certainly technical leaders, will take part in the review of deliverables that pertain to their specific roles at AWI. Between their review, and the HCL Team generation of these deliverables—based on our domain and technology experience and successes—these documents will become formal "how to" guides on maintaining the UI System.

Phase Gate Review and Acceptance Process

Executive Overview

AWI defines Phase Gates as formal check points between the AWI and HCL. The purpose of the Phase Gate Review will be to perform a comprehensive project health status check, and to authorize HCL to proceed to the next project phase. If issues arise, the issue management and/or change management processes will be utilized for resolution. The AWI Phase Gate team will be comprised of a subset of the Steering Committee, Business Sponsors and IT sponsors that will review each request to complete that phase and begin work on the next phase.

HCL proposes the following phases for Phase Gate review based on 443.1113, Florida Statutes. During the planning phase the joint PM team will review, modify if necessary and approve these phases.

- Unemployment Claims and Benefit Internet Portal
- Call Center Interactive Voice Response System and Benefit Overpayments Screening
- Benefit and Claims Intranet and Appeals Internet and Intranet.

Acceptance Process

The HCL Project Manager will be responsible for submitting a requesting for a Phase Gate Review to the AWI Project Manager. A Phase Gate Acceptance Document will be submitted that includes the information on compliance with the acceptance criteria, and a signature section. The AWI Project Manager will review the Phase Gate Acceptance Document to ensure it conforms to the agreed upon standards of documentation. Once the AWI Project Manager approves the format and appearance, the document will be reviewed by the AWI Phase Gate team.

HCL will expect a response back in five (5) business days from the presentation to AWI. If the AWI reviewers encounter an issue that would prevent acceptance, the HCL Project Manager will be provided detailed, written notification immediately. AWI will continue to review the rest of the document if possible. The HCL Project Manager has five (5) business days to respond with an updated document. If the issue will take more than five (5) days to resolve and rewrite, the Project Managers will meet to review the criteria for that deliverable. A change request could be initiated if the gap between HCL and AWI cannot be resolved within the current scope of the Statement of Work.

All in progress Phase Gate Reviews will be documented in the Project Status report. If there is a delay or conflict that the Project Managers cannot resolve, it will be addressed following the issue management process. If a change request is initiated, it will follow the change request process.

When the Phase Gate Acceptance Document is approved by the AWI Phase Gate team, an original signed Acceptance Document will be provide to the HCL Project Manager as well as a scanned copy to be stored with the project artifacts.

Phase Gate Approval Criteria

Determination of criteria for each phase, standards of acceptance, standards of documentation and identification of the Phase Gate Team will be agreed to by AWI and HCL during the project planning phase. The acceptance must be written, verbal acceptance or acceptance by default is not acceptable.

Document Management Plan

Executive Summary

The Document Management Plan outlines the processes for collection, storage, and version control of project documents. During the planning phase the joint PM team will identify the needed project documents, and establish a Document Repository with varying levels of security to facilitate tight control. In addition, the Document Management Plan establishes who on the PM team maintains the repository and who has what level of security authorizations for data access. Standards including numbering and versioning protocols are established as well as the requirements and procedures to promote privacy and security of data.

Document Management Processes

Document Repository

Per AWI's requirements, Microsoft SharePoint shall be used as the Document Repository. Standards from both HCL and AWI used for numbering and versioning will be reviewed by the joint PM team. A set of standards for this project will be approved and implemented. Maintenance of the repository will be discussed and specific resources will be assigned.

Document Identification

During the project planning phase, all documents will be identified and be grouped. The examples of groupings and associated documents listed below are meant to provide a starting point in the identification process, they are not all inclusive.

Contractual Documents: Contracts, Agreements, Statement of Work and Proposal

Supervisory Documents: Project Plans, Estimates, Customer-related Files, Status Reports

Common Documents: Checklists, Templates, Reference Material, Quality Records

Technical Documents: Base Use Cases, Extension documents, Design, Test Plan, Test Cases

Other Documents: Case Studies, Work Papers, Knowledge Management Documents

Security Process

Once all documents are identified, a security process will be applied to ensure the control of data access in any format including hard copy, electronic and soft copy. This process will include the following:

- Identify document confidentiality controls needed. This includes encryption tools used in communication, usage / prohibition of public emails for information exchange, etc. State and federal guidelines and regulations will be referenced to ensure proper confidentially.
- The value of a document is derived by assessing the impact on confidentiality, integrity and availability with respect to the document under consideration. Each document will be assigned a value to ensure the proper security level is invoked.
- Per Information Security Management Standards (ISMS) asset management guidelines, the labeling for Work product sensitivity will be as follows:
    - HS - High Sensitivity
    - MS - Medium Sensitivity
    - LS - Low Sensitivity
- Security for each team member will be determined based on the ISMS guidelines and appropriate access will be granted to MS SharePoint.

Project Change Control Plan

Executive Summary

Change Management is the process by which a change is proposed, evaluated, approved or rejected, scheduled, tracked, and implemented. A change is defined as any adjustment to any aspect of the Project Plan or already approved deliverables. This includes anything formally documented in the Statement of Work, Contract, Project Charter, Project Plan or any deliverable produced during the course of the project. Unmanaged changes can disastrously affect the project schedule and project deliverables. It is important that a joint effort be made by AWI and HCL to fully support the importance of maintaining a solid Change Management process.

Advantages of an Effective Change Control Processes

- Enables project team to effectively manage changes to the project
- Provides uniform, clearly defined procedures for handling changes when they occur
- Defines how changes can be initiated, and provides a format for addressing, submitting and documenting changes
- Assesses the impact of change on existing commitments
- Ensures that changes are approved by the appropriate participants
- Prevents unauthorized changes from affecting the project
- Reduces surprises to the customer, project team and stakeholders
- Reduces the possibility of scope creep.

HCL acknowledges AWI's Change Control process as documented in Section 5.1 of AWI Solicitation No: 10-ITN-001-SS. The processes listed below provide insight into how HCL will meet those requirements.

Change Control Processes

Change Request Initiation

The first step to managing change is identifying who is authorized to make a formal request. Since informal requests can come from many different sources, AWI requesters need to be identified as the focal points for all requests. When assigning this role, the staff assigned need to have a broad enough view of the project to be able to understand the change request's impact to Project Cost, Scope, Schedule and Quality. They also need to have a clear and detailed understanding of the Statement of Work. These roles will be responsible for reviewing the informal requests and determining if a formal Change Request should be initiated.

Identification of Change

Once the change is determined to be a valid request, the Change Request form should be filled out as fully as possible by the AWI requester. The request will be turned over to HCL for analysis based on the frequency documented in the Communication Plan. This is not the Contract Change Order referenced in AWI Solicitation No: 10-ITN-001-SS Section 5.1 #5 titled Exhibit 4, PUR 1000 State of Florida, General Contract Conditions No. 42. Rather this document will be used by HCL to assess and report the impact to the AWI team. If AWI and HCL agree to the change request, the Change Order mentioned in the previous sentence will be completed to formalize and initiate the request.

Analysis

HCL will assign the appropriate team members to analyze the change requested. The HCL reviewers will analyze the request in terms of level of effort and skill required to implement it, as well as the feasibility from a technical or implementation standpoint. Five (5) business days will be the standard timeframe for HCL to respond back to AWI with the impact to Project Cost, Scope, Schedule and Quality. If the change is complex or some affected systems that are not part of the project, HCL will work with AWI to determine the amount of time needed to fully research the impact. If the response is not back within the required timeframe, the AWI requester will follow up with the HCL Project Manager.

Change Approval

Change approval is the responsibility of the AWI approver. This resource will discuss the change request response with the appropriate team members, ensure it is fully understood and then make a decision on whether or not to implement the change. The decisions can be Approve, Deny or Request more information. Because of the dynamic nature of projects, the impact analysis will be valid for ten (10) business days from when the response was given to AWI. If AWI does not approve the change via a written acceptance within those ten (10) days, the Change Request will need to be re-submitted if AWI, sometime later, approves. If AWI needs more time to approve a change request, it will be communicated to the HCL project manager prior to the ten (10) days and a new time frame will be agreed upon.

Change Implementation

Upon approval of a change, HCL will assign the appropriate team members the job of updating the relevant documentation including requirements, test cases, etc. The Project Manager will be assigned to modify the Project Management Plan and the MS Project Plan to include all necessary tasks and schedule changes, and establish a new baseline for the remainder of the project.

Change Reporting

HCL's PM Smart tool includes a change control function. With AWI's agreement, changes will be logged into PM Smart. This will provide monitoring and reporting needs specifically for change control, while the inclusion of this data supports an overall view of the project information housed in PM Smart.

Information Security Plan

Executive Overview

The Information Security plan establishes and documents the controls in place for meeting security requirements. The Information Security plan also delineates responsibilities and the expected behavior of all individuals who access the system.

HCL acknowledges AWI's Information Security requirements documented in AWI Solicitation No: 10-ITN-001-SS Exhibit 3, Section 9. HCL's Information Security plan is documented in the Technical Response, Section 6.3.3. During the contract negotiation the plans will be reviewed and any gaps resolved.

Conflict Resolution Plan

The optimal approach to conflict resolution is to prevent it. However, that is not realistic in a project this size so a plan needs to be put in place during the planning phase of the project. A Conflict Resolution Plan defines a set of procedures in place to deal with potential problems that will occur during the project lifecycle. If the conflict cannot be resolved within the project team at the PM level or below, an escalation path to resolve the conflict will be invoked. Escalation can occur for a number of reasons, a sampling is listed below.

- An issue is not on track to meet the target resolution date
- Resources outside the project team management are needed to resolve the issue
- The prioritization changes due to other issues or change requests
- A delivery date is missed
- The project funding is modified
- A deliverable is not accepted.

Conflict Resolution Plan Processes

Prevention

Project team members are empowered to delegate tasks and escalate project issues. This means issues which cannot be resolved by an individual team member can be elevated to the upper level of project management to ensure that every effort has been made to mitigate or remove negative impacts on project results.

Matrix Creation

The Project escalation process is managed. It is insufficient to simply escalate an issue to the upper management if no responsible persons are defined. A project escalation matrix of roles and responsibilities is required for identifying people (escalators) responsible for managing project escalation procedures. The matrix will be created by the joint PM team during the planning phase.

Create Action Plan

Escalation of issues should be accompanied with a suggested action plan developed by senior management and external experts

Documentation

Escalation is formally documented. All conflicts should be documented in the issue management system as defined in the Issue Management Plan. By having action plans, names of responsible escalators, critical deadlines and timeframe for implementing action plans well documented, the issue can be managed to resolution.

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6. PROPOSED SOLUTION

6.1 Solution Overview

a. Provide a detailed overview of the proposed solution. In order to facilitate the evaluation of the responses, responses shall be organized to align with the following key business functions:- Claims, which includes: Initial and Continuing Claims, Wage Determination, Short Time, Compensation (STC), Trade Readjustment Act (TRA), Disaster Unemployment Assistance,(DUA), Special Payments, Customer Information Requests, Audit, Federal Reporting and Workforce;- Appeals;- Benefit Payment Control; and Adjudication, which includes Adjudication and Employer Chargeability.

Overview

HCL proposes to provide AWI with a state of the art solution that will more than meet its needs. Figure 6.1.1 provides an overview of the proposed solution. Built around the iGOVERN™ UI product with advanced data capture and communications capabilities, it will provide AWI with the ability to conduct its business in a highly efficient manner for years to come, while reducing operational costs. The solution will support the following UC functions – Claims, Appeals, Checks and Adjudication. The sections below provide more details of the functionality provided.

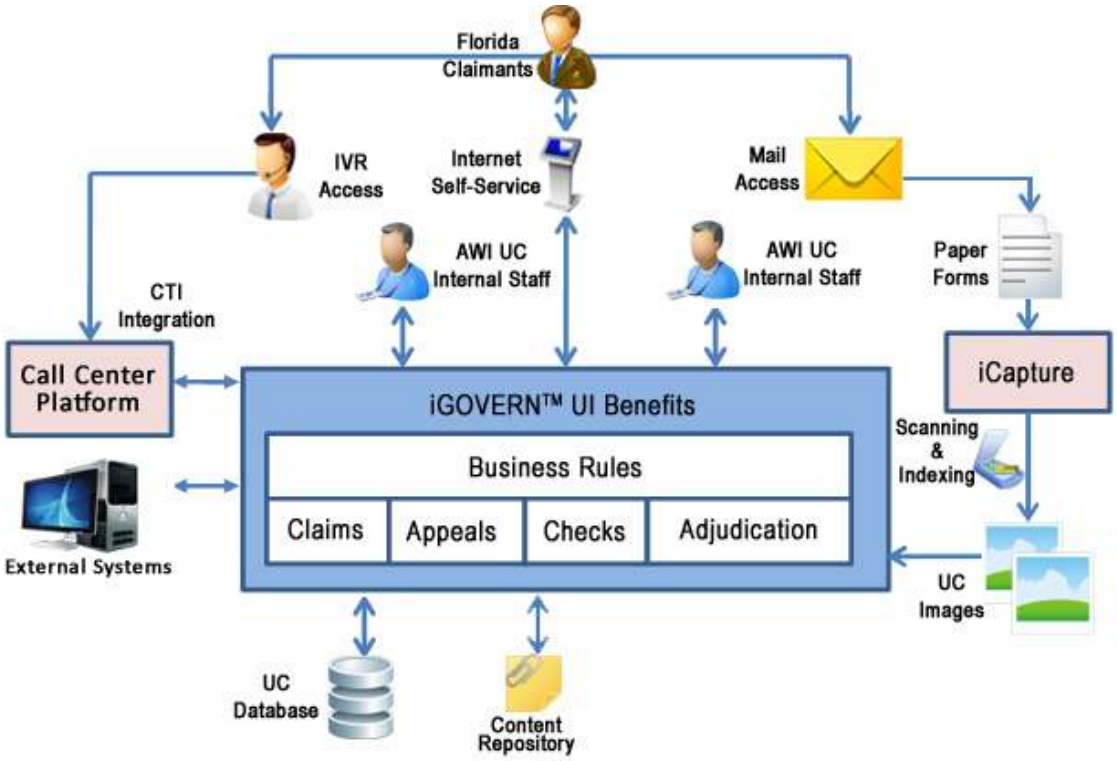

Figure: AWI Solution Overview

HCL truly believes that "IT is about Citizens" and has built a suite of citizen-centric products under the brand-name **iGOVERN™**. One of the offerings under iGOVERN product-suite is **iGOVERN™ - Unemployment Insurance** (iGOVERN™ UI), a ready, mature, product grade solution.

iGOVERN™ UI is a professional UI product that has been developed to serve the needs of state UI agencies nationwide. iGOVERN™ contains features and functions for Benefits, Wages, Appeals, and Employer Tax processing that have matured through implementations across many

states such as Indiana, Louisiana, and Michigan In addition, HCL proposes an integrated solution using iLog Business Rules Engine (BRE). iGOVERN™ has been designed to utilize JSR-94 standards which allows for the integration of any BRE such as iLog. The iLog integration in iGOVERN™ makes it highly configurable solution, which allows state-specific business rules, validations, and processing logic to be implemented in short duration without major programming changes. It comprises core business modules and support & set-up modules built on a platform which is customizable and can be extended for localizable rules.

iGOVERN™ offers:

A enterprise level product for all Unemployment Compensation needs in today's market place consisting of Benefits, Wages, Appeals, Tax and supported by automation and productivity enhancing technologies like content management, ICR, OCR, Image capturing, workflow, and business rules engine.
iGOVERN™ is an enterprise level product that has been designed, developed and tested to cater to the growing needs of the Agency for Workforce Innovation. The product has been enhanced by way of various implementations in other states and by continuous improvement making it a highly matured solution. The product consists of independent, yet integrated modules such as Benefits (Unemployment Compensation), Appeals, Wages, Employer Tax and the self service applications for claimants and employers. In additional to these modules, the solution has supporting functions such as caseflow and a customized business rules engine. The caseflow support function consists of imaging, workflow, ICR, OCR and content management to increase productivity of the agency by the leveraging the high degree of automation present in the product.
A fully browser-based integrated Unemployment Compensation application that comes with a standard set of business artifacts, training tools, and user documentation.
iGOVERN™ is a browser based product that is accessible via the internet and intranet to all authorized users. The product is bundles with ready-to-use business artifacts, training tools, user manuals, install packages, and is globalized using language packs to support multiple languages.
A modularized product in which individual modules are independently functional and operational, offering flexibility in deployment and production rollout. While conceptualized and designed to work as enterprise solution, the individual modules can function as self-contained products with significant features.
The individual modules are products unto themselves. The benefits application is a separate product with well defined features that satisfy a significant part of the Unemployment Compensation needs. So is the claimant self-service module, which allows claimants to register and modify an account, submit an initial claim, certify weekly claims and view the status, history of the claim, and payments made. Individual modules can be installed and implemented to meet or exceed the specific requirements of the agency.
Seamless integration with other external products using well defined interfaces and web services.
Even though iGOVERN™ is conceptualized to be an enterprise application, it is designed to achieve modularization which extends our customer the flexibility to implement in full or part without losing any of its technical features and the ability to add other modules in future depending on the needs. The design considerations enables iGOVERN™ to work seamlessly with internal modules and external applications such as PeopleSoft using well defined interfaces and web services. iGOVERN™ comes with very well defined interfaces with local, state and federal agencies. The product also has interfaces with 3rd party collection agencies, GL accounting applications such as PeopleSoft to transfer data between the agency and the State accounting systems.

Out of the box available interfaces with various local, state, and federal government agencies.

iGOVERN™ has built in interfaces to 24 local, state, and federal government agencies including

- ICON
- Department of Revenue
- Child support
- Immigration and Naturalization services
- Social Security Administration
- IRS
- US Department of Labor
- Department of Corrections
- Department of Motor Vehicles
- General Ledger (Enterprise accounting system)
- Attorney General
- Workers Compensation
- Banking
- Department of Health
- Interactive Voice response
- Call center
- Labor Market Initiatives
- Employer Tax
- 3rd party Collection agencies

Facilitation of direct collaboration with all stakeholders.

iGOVERN™ facilitates direct collaboration between different stakeholders, i.e. the State, Adjudication officers, Claimants, Employers, third party agents and Judges, whilst automating their respective processes such as:

1. Claimant Self Service – Online Customer Portal interface for applying for benefits and continuing claims.
2. Dynamic fact finding and Adjudication
3. Imaging and case flow
4. Appeals
5. Federal reporting
6. Audit
7. Automatic determination of claims programs such as Regular, DUA, TRA etc
8. Interfaces to 24 external agencies
9. Correspondence

All the automated processes are empowered with features that provide flexibility to seamlessly adapt to policy changes.

a. Exhaustive checks and validations against any errors / fraud

b. Enabled with reporting capabilities

Electronic document management capabilities enabled with workflow and business-rules engine, providing flexibility to seamlessly adapt to policy changes.

A cost effective solution with optimized time to production enabling better Return on Investment.

iGOVERN™ is a cost effective solution to agency needs. The product based methodology decreases the time to production. This allows the agency to achieve a higher Return-On-Investment (ROI) due the proven pre-built, tested functionality currently available**.**

Reusable modules that can be extended to AWI's other business functions.

iGOVERN™ Caseflow contains an integrated content management, workflow and data capture component. Caseflow is a plug and play component that is pre-integrated with our iGOVERN™ unemployment insurance product. The use of the caseflow solution by other applications allows the agency to leverage their existing investments and increasing the productivity which translate in to savings.

A proven solution that has been implemented in other states.

The solution has been implemented in Indiana, Louisiana, and Michigan

Developed by a team with deep Unemployment Compensation knowledge

The product team has significant years of experience in the Unemployment Insurance practice. The product has been designed by industry leaders in Unemployment Insurance. The team collectively has over 150 person years of experience and has a deep bench. iGOVERN™ is a product designed for the Unemployment Insurance industry by the industry leaders and users.

A viable contribution in reduction in carbon footprint.

iGOVERN™ is designed to enable the agency to reduce their carbon footprint. This is achieved by the highly automated caseflow process, self service applications and a relentless transition towards providing a paperless workplace.

Maximize the reuse of existing investments

The product is designed and developed to maximize the existing investments. The product is database agnostic. The plug and play modules such as caseflow can be integrated with the existing systems to increase productivity. The reusability of the product maximizes existing investments and minimizes the need for new investments.

Compliance for standards and security requirements.

The solution provided is designed to operate at a level of security that is consistent with the potential harm that could result from the loss, inaccuracy, alteration, unavailability, or misuse of the data and resources that it uses. Role based security allows the agency to define, maintain and grant access to individual users.

Implementation Options

HCL has reviewed the AWI Schedule IVB Feasibility Study and the recommendations for the type of system to consider for implementation – a Transfer System from another State, or a Commercial off the Shelf System (COTS). In both cases some custom development would be required. While both options have their merits, there are also considerations that have led us to the conclusion that a more attractive option exists.

With a transfer System source code is obtained from the source State, and this becomes the initial baseline. The source code is adjusted to be compatible with the recipient's infrastructure

and additional code is produced to meet requirements not supported by the original code. While there is no license Fee involved, there are substantial transition costs. Other factors to consider include:

- Lack of expertise with the transferred code, and the reliance on what is likely a small group of people with the requisite expertise.
- The need to adapt to non-standard technology,
- The likelihood that the transfer source is using outdated technology and proprietary standards.
- Scalability and extendibility of the solution chosen.
- Sparsely available documentation.

With a COTS solution, the functionality is largely defined by the supplier and the ability to customize may be limited. A License Fee will be involved and maintenance could be added. Other factors to consider include:

- Dependence on the supplier.
- Ability to respond to change.
- In-house knowledge of the system and software.
- Need to accommodate version changes determined by the supplier.
- The ability for users to change business rules.

These and other factors have led HCL to adopt a third way which we call the "**Professional Product**" namely iGOVERN™. This is a state of the art, modular system offering very rich unemployment compensation oriented functionality. It is easily adapted for each customer's specific needs. The customer receives a copy of the source code that is deployed. Thus the customer has the opportunity to be self sufficient when it comes to evolving the system in the future. Other factors to consider are:

- A ready repository of artifacts
- Reduced time to roll out the system for production use.
- Improved success rate.
- A cost effective and a higher return on investment.

High Level Features

The proposed solution eco-system below shows the various stakeholders, customers, inputs to the system, the outputs and the sequence of flows that happens within the system. The eco-system also describes the non-functional activities that enable all the participants in the eco-system to collaborate, communicate, and interact and produce the desired results.

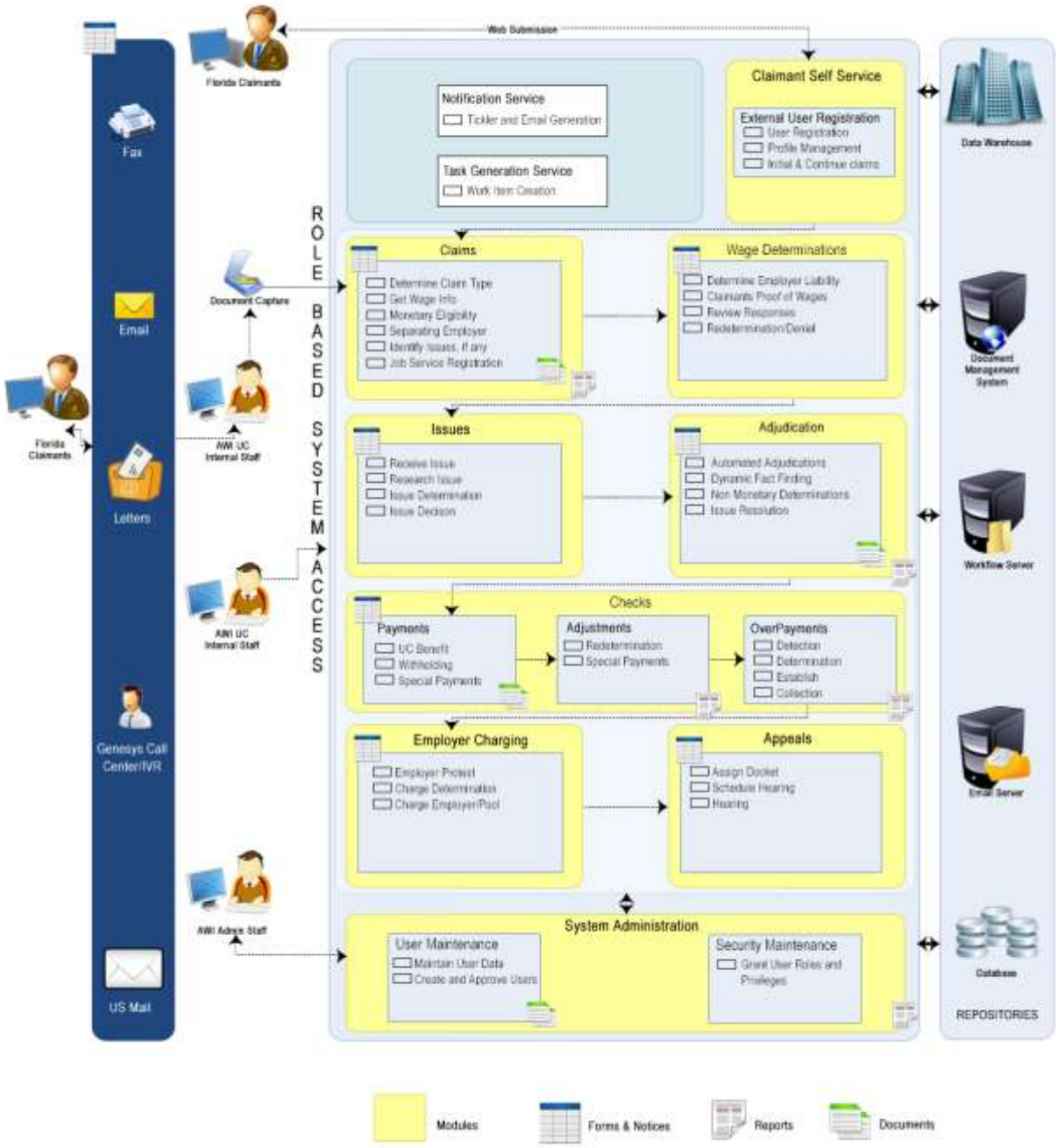

Figure: iGOVERN™ Benefits and Appeals Ecosystem for AWI.

iGOVERN™ thrives in an eco-system that is consistent with the needs of current day's unemployment insurance. The eco-system described here describes the Unemployment Compensation solution for AWI. The eco-system is made up of the following.

a. Stake holders
b. Modules
c. Input channels

d. Support functions
e. Databases.

Stake holders.

a. Agency User
b. Agency IT Staff
c. Agency Management
d. Other States
e. Federal and Military
f. United States Department of Labor (US DOL)

The proposed AWI UC solution caters to a diverse group of stake holders. The primary customer is the claimant. The proposed solution is designed to enable, assist and authorize the claimants to receive their unemployment compensation without any need for agency user intervention. The claimants can seek the assistance of agency users. The business rules, user administration, security and access roles are handled by the agency IT staff. AWI UC agency users administer the entire operation for the benefit of the claimants, and citizens of the state. These users have to drawdown from the Trust Fund that is controlled by the USDOL. In addition, that the agency has to produce federal reports that are sent to USDOL. The transfer of data between the agency and other states is vital for the correct working of the system. In addition, the agency has to interact with Federal and Military employers for processing their employees' claims.

Modules.

There are 7 modules to iGOVERN™

Benefits	Claimant Self Service
Appeals	Case flow
Wages	Employer Tax
Employer Self Service.	

The ecosystem diagram describes only the Benefits, Appeals, and Claimant Self Service.

iGOVERN™ benefits module and the claimant self-service module has the following features built in to it. The key business functions such as Initial and Continuing Claims, Wage Determination, Trade Readjustment Act (TRA), Disaster Unemployment Assistance, (DUA), Special Payments, Customer Information Requests, Audit, Federal Reporting and Workforce;- Appeals;- Benefit Payment Control; and Adjudication, which includes Adjudication and Employer Chargeability exist in the system already.

The AWI UC solution's business objects will implement sophisticated UI benefits processing that is unique in the industry. Specifically, the integrated payments, adjustments, charging, and overpayments engine evaluates every week claimed to determine which program it should be paid against, how much employers or pool accounts should be charged, how much the claimant should receive, if an overpayment should be established, and how much in offsets, if any, should be taken from a check. In addition, this engine processes changes to the claim that might affect the claimant's payment amount. The changes include wage changes, weekly certifications, changes in a claims monetary entitlement, eligibility determinations including initial determinations, re-determinations, appeals or higher authority decisions, claim effective date changes, withdrawal of claim, and changes in a prior claim. These changes can initiate a payment adjustment which will recalculate all weeks affected by the changes across all programs, automatically create a supplemental if the claimant is owed more money, or create an overpayment if the claimant was paid too much. It will automatically redistribute the charges

based on these changes. In the event that an overpayment is created, the system will track the reason for the changes that will be used to determine the source, class, and cause of the overpayment. Finally, all of the required fund and program accounting transactions are created or adjusted as a result of these processes.

The table below lists each of the Benefits subs functions and a description of key features for each sub function.

Table- iGOVERN™ Benefits Sub Functions

#	Business Functionality	Description
Benefits – Unemployment Compensation		
1.	Claimant Registration and Maintenance	• Enter Claimant Social Security Number, First Name, Middle Initial, Last Name, Date of Birth, and Gender • Enter Address, City, State, Zip, Phone Number, and Driver's License Number • Verify Claimant Identity with the Social Security Administration using the Social Security Number, First Name, Middle Initial, Last Name, Date of Birth, and Gender • Verify Claimant Driver's License Number, First Name, and Last Name with the Department of Motor Vehicles • Claimant and UC Workers have online access to maintain the claimant profile • Claimant can update fields such as addresses, phone numbers, email address, etc. (some fields would be protected, such as SSN)
2.	Apply for Benefits	• File Claim through web, phone, or on paper • Enter Claim Detail • Enter Eligibility Information • Preliminary Monetary Computation • Determine Program Type • Generate Notices for Claimant & Employers • Detect and establish additional/reopen claims • Handle extensions and special programs like TRA, TEUC, DUA, EB, Short Term Compensation (STC) etc.
3.	Verify Claimant Employment Information	• Send Wage Request to the Employer • Verify Wages • Separation List – Employment Details • Enter Employment Separation details

#	Business Functionality	Description
4.	Fact Finding	• Claimant Statements • Employer Statements • Dr. Statements, etc.
5.	Determine Eligibility	• Evaluate Eligibility Responses • Identify Issues • Create Issue Record • Assign Issue to Service Representative • Make a Determination • Notify Interested Parties • Implement the Decision
6.	Wage	• Enter Claimant Wages • Change Claimant Wages • Enter Disaster Unemployment Assistance Wages • Validate Wages
7.	Monetary Computation	• Retrieve the Monetary Determination Rule corresponding to the program and period • Retrieve Qualifying Wage Information • Compute Weekly Benefit Amount • Compute Maximum Benefit Amount • Attach Monetary to the Claim • Compute Benefit Charge for Involved Employers • Attach Benefit Charge Information to the Claim and Employer Account • Evaluate if Alternate Base Period is viable • If yes, then calculate the alternate monetary
8.	Claim Weekly Benefits	• Enter Weekly Certification Details through web, IVR, or mail • Enter eligibility information • Provide Employment Details, if any • Update Claimant Profile, if desired • Update Withholding Information, if desired
9.	Benefit Payment	• Review all Claims and Extract 'Eligible for Payments' records • Process the Claims • Check for deductions for overpayment, offsets, withholdings, child support intercept,

#	Business Functionality	Description
		collection, etc. • Generate Payment File • Update Remaining Benefit Amount • Create Payment Record and attach to Claim • Update Payment Record with Check Number when available
10.	Charging	• Determine Chargeable Entity (employer(s) or pool accounts) • Compute the Appropriate Charge Percentage for each Chargeable entity
11.	Adjustments	• Automatically Detect Changes to Claim and Claim Related Data • Automatically Perform Claim Adjustment
12.	Detect & Manage Overpayment	• Detect Overpayment Automatically • Record Origin and Type • Overpayment History • Overpayment Maintenance/Offset Override • Recovery History • Refund History • Collection Activity • Manual Overpayment
13.	Audit and Quality Control Review	• Conduct Quality Review • Review Claims • Perform Analysis • Generate Reports and make recommendations • Implement corrections
14.	Interfaces	• ICON • Department of Revenue • Child Support • Immigration and Naturalization Services • Social Security Administration • IRS • US Department of Labor • Department of Corrections • Department of Motor Vehicles • General Ledger (Enterprise accounting system)

#	Business Functionality	Description
		• Attorney General • Workers Compensation • Banking • Department of Health • Interactive Voice Response • Call Center • Labor Market Initiatives • Employer Tax • 3rd party Collection Agencies
15.	Federal Reporting	<u>Weekly</u> • ETA 538 • ETA 539 • ETA 5159ae (EB) • ETA 5159ae (TEUC) • ETA 5159ar <u>Monthly</u> • ETA 191 • ETA 203 • ETA 207ar • ETA 207ae (EB) • ETA 207 (TEUC) • ETA 227 • ETA 227(TEUC) • ETA 563 • ETA 5159ae (EB) • ETA 5159ae (TEUC) • ETA 5159ar • ETA 9052 • ETA 9053 • ETA 9051P • ETA 9051 • ETA 9050P • ETA 9050 • ETA 90-2 <u>Quarterly</u> • ETA 191

#	Business Functionality	Description
		• ETA 207ar • ETA 207ae (EB) • ETA 207ae (TEUC) • ETA 218ar • ETA 218ae (EB) • ETA 218ae (TEUC) • ETA 227ar • ETA 227 (TEUC) • ETA 586 • ETA 9016 • ETA 9048 • ETA 9049 • ETA 9056 <u>Data Validation Reports</u> • Additional Claims • New Claims • Weeks Claimed • Non-monetary Determinations • Benefits First Payment Time Lapse • Agent Initial Claims • Liable Initial Claims • Liable Weeks Claimed • Total Fraud Overpayments • Total Non-Fraud Overpayments • Recovered Cash • Recovered Offsets

Input Channels:

Like any enterprise level product in the marketplace, iGOVERN™ is very flexible and is capable of accepting information through many input channels.

- **Web-based Claimant Self Service** - The state of the art Claimant Self Service application is designed for account registration and management, submission of initial claims, certification of weekly continuing claims, viewing the claim history, payments, and handling payments to the agency for any overpayments that have been set up. The simple to use, highly secure application reduces the workload on the agency staff enabling them to focus on claims that have issues.

- **Interactive Voice Response** and Contact Center– iGOVERN™ IVR solution is integrated with Verizon's Genesys system for all IVR and contact center needs for the agency.

- **Fax**: Claims can be submitted via fax and is processed without the intervention of the agency user. The faxes are processed through the RightFax server, and data is captured, imaged and processed without any user intervention using the iCapture solution from Impression Technology.

- **US Mail**: The claim application can be made by US mail or by walk-in in to any of the field offices. Paper forms are scanned, imaged, indexed by iCapture and processed by agency staff.

Support & Set-up Modules:

1. **Workflow Management**: A flexible workflow engine provides business process automation that can be standardized across the state or allow Coalitions to design their own workflow based upon the own custom processing needs. The base solution is utilizes business process management (BPM) based workflow that has been pre-developed for UI agencies.

2. **Business Rules**: A highly customized business rules engine that executes rules stored in a central repository. This architecture provides a separation of business rules from the logic that executes the business rules. The business rules engine (iLog) has been pre-integrated into proposed solution and is JSR-94 compliant.

3. **Forms Management**: A forms generation engine that merges Florida's Unemployment Compensation data with templates stored in a central repository to create documents that can be printed and stored in the enterprise content management system.

4. **Administration**: State users with appropriate security profiles will define the master table values and have the ability to modify the code table values that are displayed in various dropdowns. The benefit of this is to utilize a business rules engine that allows the system administrators and specified users to configure and modify business rules through a simple to use plain-English based interface.

5. **Reporting**: This is an important and integral part of the solution. It meets different federal reporting requirements which lead to FL Unemployment Compensation being compliant with federal reporting, requirements. Some of the federal reports are available out of the box.

6. **Databases:** The centralized database repository of iGOVERN™ is a highly normalized relational database management system. The system has a published Entity Relationship Diagram (ERD), elaborate and complete data dictionary complete with descriptions, schemas and sub-schemas. The highly efficient data model allows the storage of data and subsequent retrieval of data. Continuous performance monitoring and tuning of the database results in faster retrieval times.

Tangible Benefits to our clients

"Changes made to Indiana's unemployment insurance system over the last two years have made it much easier for employers to access and file their unemployment information, pay taxes, and submit required reports," says Andrew Penca, IDWD Commissioner. In addition to benefits for the state's employers and unemployment claimants, officials expect the new system to continue to deliver greater efficiencies for agency employees as well. "The result should be improvements in timeliness, accuracy, flexibility, reliability and efficiency," Penca adds.

Andrew Penca, IDWD Commissioner

Our clients derive extensive tangible benefits by implementing iGOVERN™ UI to maximize operational efficiency and customer service. Below we cite some examples of the business value that has been achieved through our UI systems implementations:

400% increase in staff productivity as a direct result of automated adjudication process implemented in the Uplink application of Indiana. Earlier the staff was looking at every application for adjudication.

Total direct savings of $1.0M in postage and mailing attributed to automated adjudication, in Indiana. The business rules process implemented minimized errors, created simpler issues and reduced postage and mail costs.

$1.8M in savings in postage and in staff redeployments because of the implementation of the Caseflow solution in Michigan.

85% drop in the number of appeals for 'base discharges' and 'base quit' on employer benefits charges protests in Indiana. The data validation and edit checks implemented reduced non-monetary determinations and reduced the appeals from employers on charges.

90% increase in claimant and employer registrations received through self service applications without any staff intervention in Indiana. Intelligent screen design, ease of use and user friendly interfaces reduced the number errors that were submitted by claimants and employers.

30 fulltime staff redeployed to claims processing after the solution was implemented in Michigan. Staff that were doing clerical functions in adjudications were redeployed to do doing claims processing, thereby increasing productivity.

60% reduction in backlog claims after caseflow solution implementation in Michigan.

12 fulltime staff redeployed to claims processing in Louisiana after the implementation of the Caseflow solution

50% increased efficiency in the remittance processing and deposits in Louisiana after the Caseflow solution implementation

2 months ahead of schedule implementation of the Caseflow solution in Louisiana due to the mature nature of the caseflow solution, even after significant upward scope changes.

50% increased efficiency in the remittance processing and deposits in Louisiana after the Caseflow solution implementation

80% decrease in paper usage in Georgia Health and Human Services implementation.

HCL has taken the liberty of providing our own expectations as to the tangible benefits that AWI should expect to derive from the UC Modernization project. Below we summarize the AWI expected improvements in the feasibility study report in combination with HCL's expected improvements.

Parameter	AWI Expected Improvement	iGOVERN™ Expected improvement
Enhanced customer self-service and streamlined claims processing creates system efficiency gains resulting in a reduction in the # of calls	15%	20%
Enhanced customer self-service and streamlined claims processing improving the quality/accuracy of claimant info resulting in fewer nonmonetary	15%	20%
Enhanced customer self-service and streamlined claims processing improving the quality/accuracy of claimant info resulting in a reduced # of appeals	15%	20%
Reduced non-fraud overpayments, which results in a higher UC Trust Fund balance being maintained	11.10%	15%
Increased interest revenue due to reduced trust fund disbursements	$874,841	Not Available
Reduced average claim duration due to faster re-employment resulting in reduced trust fund disbursements	1 week for 15%	Not available

Benefits of a Professional Product

HCL describes iGOVERN™ as a professional product. Listed below are the items that come out of the box:

a. **What comes with the product?**

iGOVERN™ UI is a professional product and comes with the following.

1. Installation/deployment guide complete with step by step instructions on how to set up the entire product.
2. Developer guide on the methodologies used in developing the product, standards used in design, development and testing.
3. User manual explaining in detail the screens, batch processes, interfaces, reports, and correspondence.
4. Computer-based training media.

b. Product Metrics:

The table below lists out the product details.

iGOVERN™ UI	Metrics	Values
Modular approach that allows incremental deployment without compromising Enterprise Architecture	7 Fully functional and independent Modules	a. Claimant Self-service b. Benefits application c. Appeals d. Case Flow e. Employer Self-service f. Employer Tax g. Wages
Ready repository of Business artifacts (Use Cases, Process Flow Diagrams)	1073	a. 469 for Benefits b. 54 for Appeals c. 550 for Tax
Browsers compatibility	2	a. Internet Explorer Version 5,6&7 b. Mozilla based browsers
Operating systems the product is compliant	Not Applicable.	iGOVERN™ is certified and tested on Windows 2003, however our architecture and use of platform independent technology makes it easily portable to platforms like Unix or Linux. As per the current product road map, HCL plans to certify this product on Linux by Apr '11. a.
Database Design	Not Applicable.	a. Entity Relationship Diagram b. Schema & sub-schemas c. Data dictionary
Database platforms	2.	a. Oracle 10g, 11g b. SQL Server 2003 and 2008 c. The system is portable to all Relational Database management systems
OCR forms that are processed automatically	15	a. Expandable to virtually unlimited.
Forms that are processed by UI Agency staffs	200	a. Expandable to virtually unlimited.
Federal reports available out of the box	46	a. 36 in Benefits b. 10 in Tax
Interfaces to external agencies	42	a. 27 in Benefits

iGOVERN™ UI	Metrics	Values
		b. 15 in Tax
Management and control reports	138	a. 60 in Benefits b. 5 in Imaging and caseflow c. 5 in Appeals d. 58 in Tax
Reporting engine	1	a. Unlimited reports by defining criteria
Correspondence		a. Template driven b. Unlimited correspondence items
Laptop application for Field audit staff	1	a. Capable of supporting unlimited field audit staff. b. User friendly separate application for field audit staff that integrates seamlessly with iGOVERN™ UI product. Contains advanced capabilities to Upload, Download data to/from iGOVERN™ UI

c. Benefits to Stakeholders

These stakeholder communities will realize numerous benefits from the adoption of iGOVERN™ as the core foundation of AWI Unemployment Compensation services to the citizens of Florida. With the integration with other world class products that provide significant degrees of automation and communication, the overall solution should, not only enable AWI to meet its increasing workload, but also reduce its operational costs in doing so.

The figure below provides a more detailed of the benefits accruing to different communities with an investment in the Unemployment Compensation services in Florida.

- The business users responsible for AWI's operations that need greater efficiencies in difficult financial times.
- AWI's Information Technology staff that manage the UC systems and will welcome the elimination of the constraints and frustrations through the adoption of current technologies.
- The system's end users – staff and customers – who will welcome the ease of use of the new system, and the different ways of providing service that it offers.

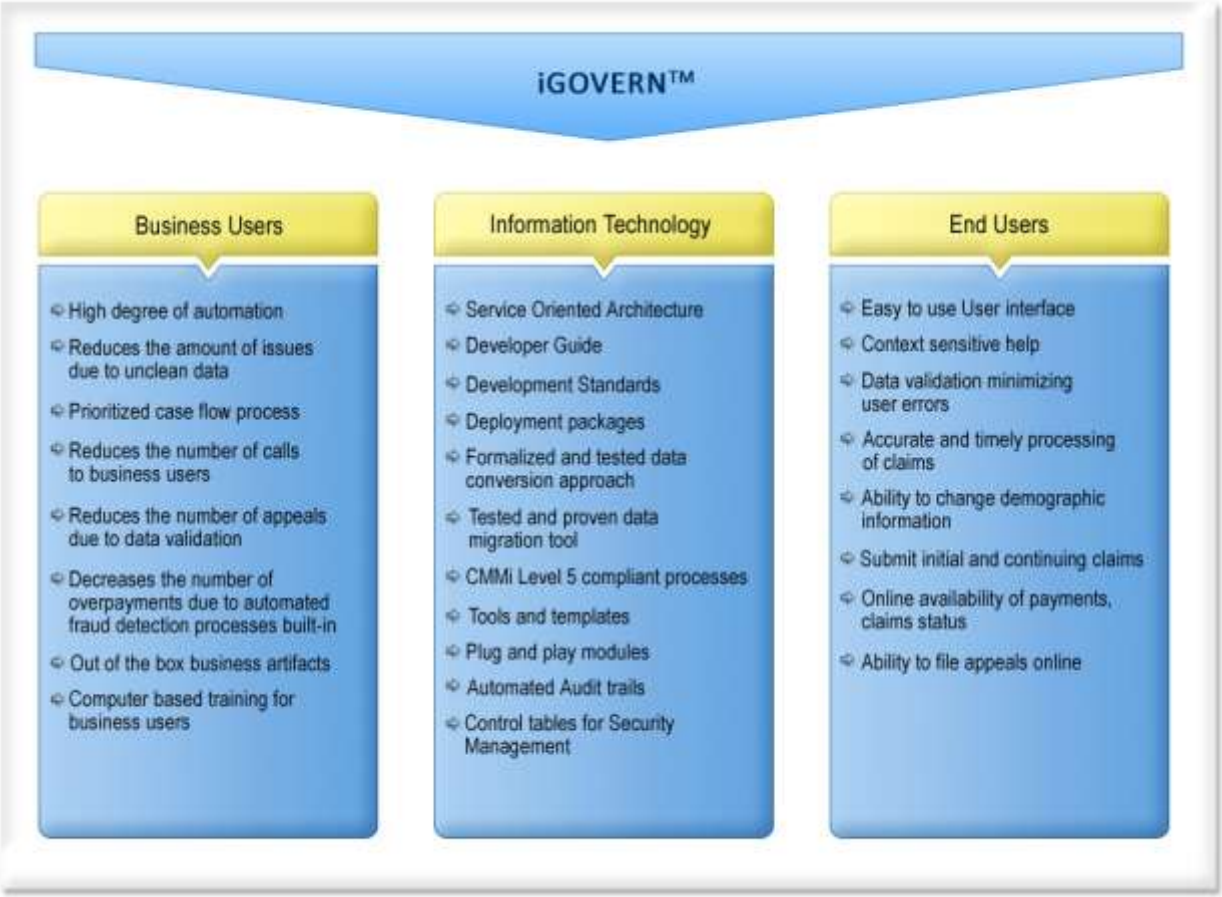

Figure: Summary of iGOVERN™ Benefits

b. Describe how the proposed solution provides flexibility in day-to-day operations.

Flexibility is the key to success for an UC application. The iGOVERN™ offers flexibility in a variety of ways to the end user in their day to day operations. Below is an example of how flexibility is achieved in AWI UC modernization solution:

Law changes are real and a fact of life. The effect of a law change can range from simple change to eligibility determination to complex extension to the program itself. Depending on the size of the change, the fix to the solution may require considerable effort to modify the application. Every time, a solution is modified, it introduces additional constraints on the system. The involvement of IT staff, and a costly procurement process, and lengthy implementation time will hamper the functioning of the agency and compliance will be reduced. Examples of recent complex new changes to the law are the Emergency Unemployment Compensation 3 (EUC-3) and Emergency Unemployment compensation 4 (EUC-4). Without a business rules engine, the changes to the code would be extensive and would require validation of the entire application to ensure that additional rigidity is not introduced to the application. Compliance with the law is of utmost concern with the solution proposed. iGOVERN™ has integrated the iLog JRules engine to provide the flexibility required. Any law change is thoroughly analyzed and a determination is made as to what new business rules are needed and what business rules need to be modified or removed. Once the analysis is complete, business rules are classified in to 'new rules', 'modify rules' and 'no longer valid' rules. These business rules are added or updated in the BRE. The end users that are dependent on EUC-3 and EUC-4 would not have to wait for their Unemployment Benefits, and the operational efficiency of the agency staff would increase, thereby increasing productivity. This configuration of the system without major programming changes offers flexibility to the solution.

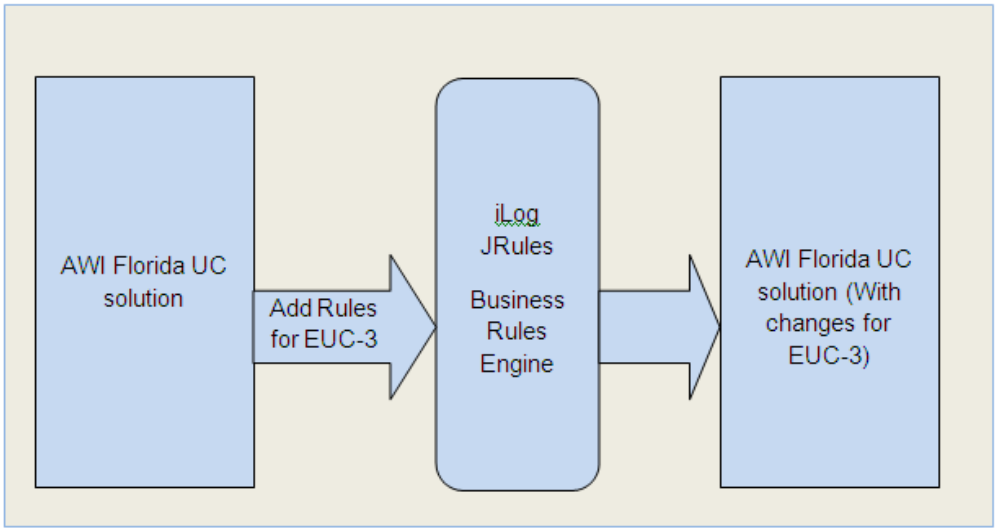

Figure: Business Rules Enable Flexibility

For the business user, the application offers flexibility in a variety of ways. The caseflow solution of iGOVERN™ utilizes the load balancing feature of the application in assigning the work objects to the AWI staff. In the event of a staff not able to report to work or a spike in workload, the supervisor of the business unit can reassign the caseload appropriately to one or more staff in his/her supervision. This manual reassignment of work offers flexibility to the supervisors to increase their operating efficiency and achieve required level of productivity.

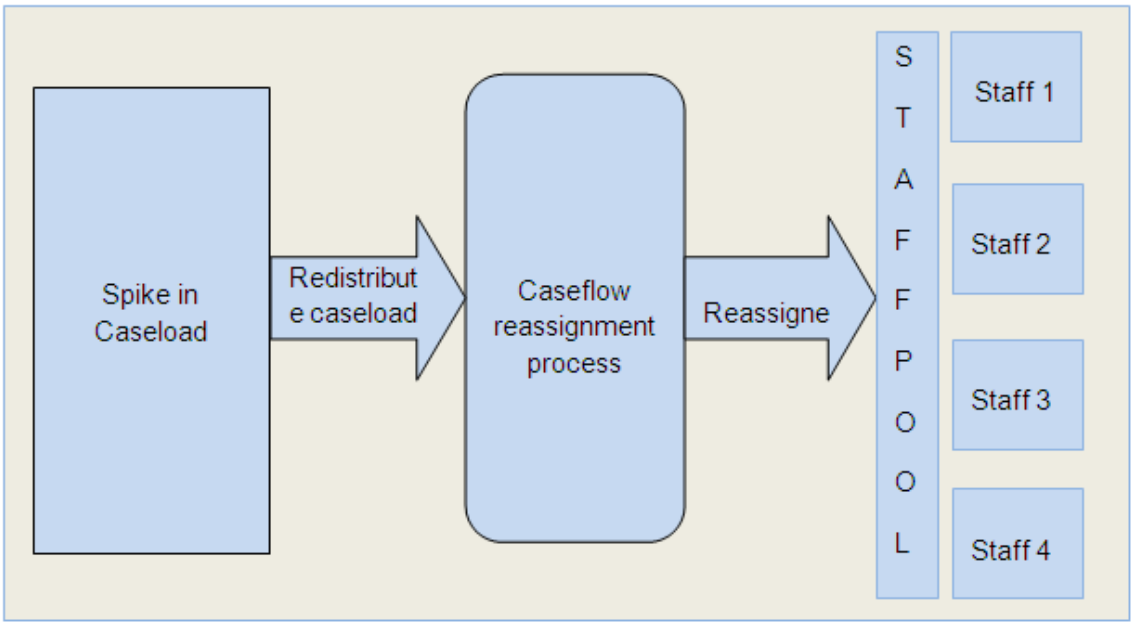

Figure: Case Load Balancing Enables Flexibility

c. Describe how customers will interact with the system to obtain UC information and services.

Customers to AWI are the claimants. Claimants interact with iGOVERN™ for their unemployment compensation, the status of a claim, the status of their payments, to answer queries raised by AWI, and in some cases to file an appeal.

There are many channels available for the claimant to interact with AWI and obtain the UC information and services. They are listed below

- Claimant Self Service
- IVR – Call Center Genesys System
- Forms and mails to AWI

The simplest and easy to use method for a claimant is the Claimant Self Service (CSS). CSS application is a browser based web application that is available for all claimants to register and manage their account, file an initial claim, provide additional information requested by AWI to resolve any issues, file weekly certifications, monitor the status of each claim and monitor payments sent by AWI.

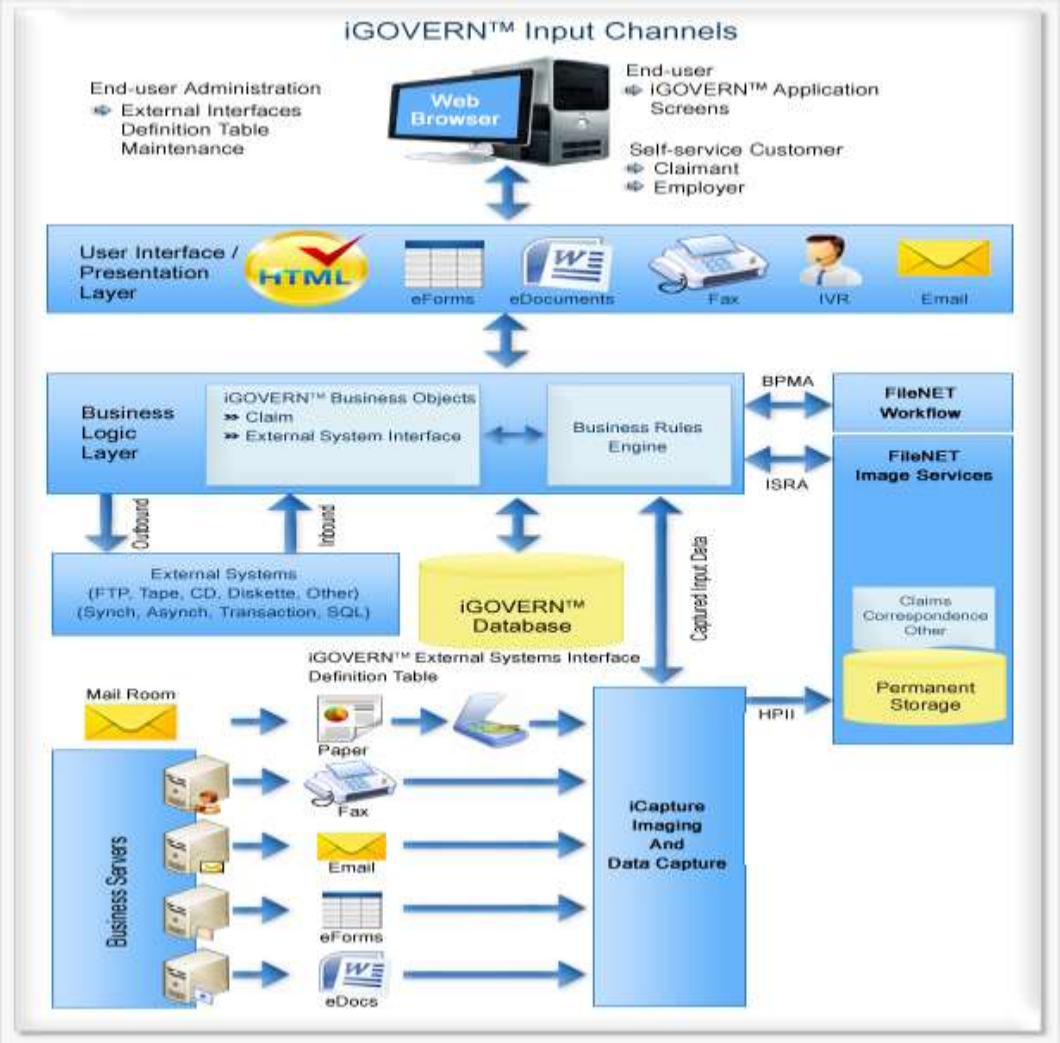

Figure: Customer Interaction Support within the AWI Solution

Account registration and management:

- The Claimant creates a new account by selecting the 'New User' link in the CSS Portal that is ADA compliant.
- The application verifies if the account exists in the database and, if so, advises the Claimant that user account exists. If not, the user is requested information that only the user can provide.
- The system validates the data entered and assigns the user account. The sensitive information such as SSN and Password are encrypted and stored in the database.
- Once the account has been established, the claimant can submit initial claims by entering the required demographic information, employer(s) that the claimant has worked with and the dates of work. This process is a wizard approach that walks the claimant through every step of the process.
- The user friendly screens, on-line context sensitive help, stringent data validations, access to external software for address validations, and dynamic searching for

employers help the claimants to complete their filing of the initial claim faster, easier and cleaner.

- Once the data entered is verified to be valid, CSS determines the claim type, wage determination data, and the application commences the adjudication process in the backend transparent to the claimant.
- If the claim is valid and is devoid of any deficiency in wage determination, the claim is automatically adjudicated and sent out for payment.
- If there is a problem in wage determination, an issue is created for a claims representative to resolve the issue.
- Once the issue is resolved the claimant is eligible for UC. If the issue cannot be resolved, the claim is sent to adjudication for fact finding and resolving the issue.
- The Claimant can view the status of the claim, history of the claim, payments that have been mailed so far, and any pending issues.
- Once the initial claim has been approved, the claimant can submit weekly certification for continuous claims.
- If there was a determination that the claimant has been overpaid, the claimant can view the overpayment determination, and make payments via the web, to pay off the liability. The application can accept credit card, debit cards, ACH, and electronic check.

IVR Application and Genesys™ Call Center Application

HCL's solution for AWI UC modernization uses the Genesys™ product from Verizon Business Solutions. This product is user friendly, voice menu driven and available in languages that AWI has requested. The user is identified by either the claimant id or by SSN followed by a Personal Identification Number (PIN). This highly secure product walks the claimant through the claims process, validating the data and after the claimant certifies the data is correct seamlessly interfaces with iGOVERN™ product. At the same time every call is recorded and stored in the system. These calls can be used for further verification, if it is needed at a later stage. Using Genesys™, the claimant can submit initial claims, continuous claims, retrieve the status of the claim, claims history and payment history.

Genesys™ IVR and Call Center Solution and Integration with iGOVERN™

iGOVERN™ solution is integrated with Verizon's Genesys™ solution to provide a state of the art call center & IVR solution. The fully integrated solution is described below.

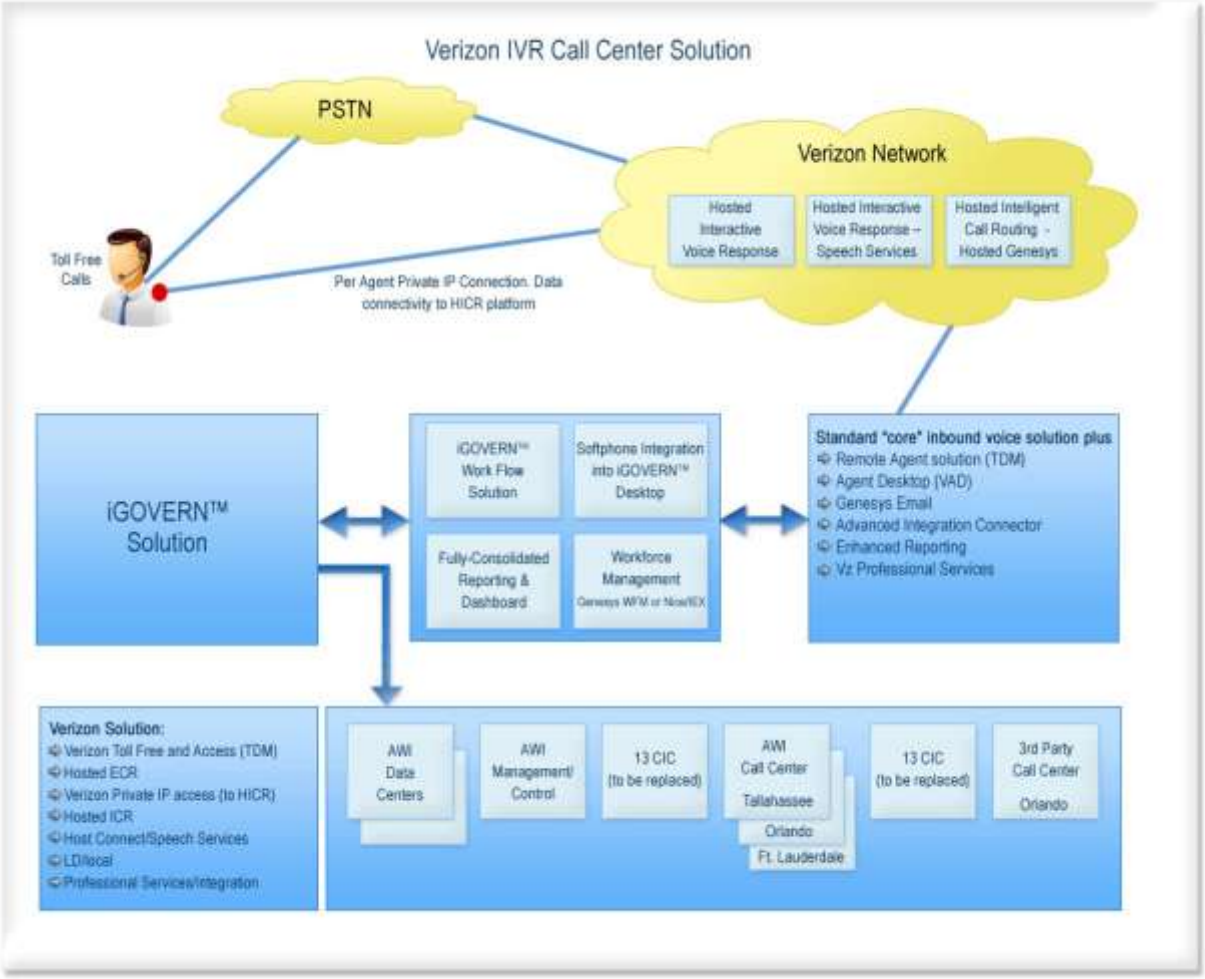

Figure: Verizon Call Center Overview

Overview (Call Flows)

All inbound calls are received through the Verizon Toll-Free network. The Toll-Free inbound calls will be front ended by the Hosted IVR – Enhanced Call Routing (ECR) services which provide automated auto-attendant and caller self-service using a menu of choices (time of day, ANI, database lookups, caller entered inputs, Option 1-4 which then can be transferred or automated etc.)

Based on the menu choices that are offered, what is selected by the caller and call type that comes in (new claim, re-open existing claim, unemployment eligibility status, appeals, weeks of claims qualified etc.), the call will then be either transferred to an automated system, where IVR may play a pre-recorded message, or prompt the caller to be transferred to our Host Connect & Speech Services solution, which will provide the information requested automatically based on the specific request from caller (claimant). If the caller requests that they be transferred to a live agent for proper handling of a call, Hosted IVR builds a request to Hosted ICR (Intelligent Call Routing) for agent selection and call control. If there are no agents available Hosted ICR directs Hosted IVR to queue the call in network until an agent becomes available. When an agent is available the Hosted ICR solution will transfer the caller to the right skill set and next available agent across the enterprise based upon the business rules. Business rules will be used to terminate toll-free calls.

Call Center Professional Services is providing the standard services for Verizon Agent Desktop to design and integrate the Genesys suite of products to replace the current CTI solution. The CTI infrastructure will receive information from the IVR, attach relevant information regarding the caller and present that information to the iGOVERN™ "screen pop" business application that will automatically invoke relevant customer and supporting information to the agent.

Verizon Inbound Toll-Free and Access (TDM)

Verizon Business' Toll Free service will serve as the 'front gate' for the State of Florida claimants in accessing information and customer service support. Verizon Business' intelligent network will allow the State of Florida the ability to route incoming toll-free calls based on specific business needs. These routing options offer redundancy, diversity, and flexibility in an effort to help the State of Florida's Unemployment architecture maximize constituent support.

Verizon Private IP Access (to HICR Platform)

As a part of the integrated iGOVERN™ solution, Verizon Business will be providing MPLS based access from all four State of Florida locations (Tallahassee, Orlando (2 locations), and Ft. Lauderdale into the Hosted ICR platform. Data connectivity is required in order to provide the State of Florida agent base the ability to access relevant features, intelligent routing profiles, queue definition, and business rules definition.

Hosted Interactive Voice Response – Enhanced Call Routing (ECR)

Hosted Interactive Voice Response - Enhanced Call Routing (ECR) is a network-based Interactive Voice Response (IVR) service that provides automated-attendant treatment and routing for inbound calls using a combination of callers' menu choices, originating automatic number identification (ANI), time of day, database look-ups, caller-entered digits, and/or destination labels provided by customer systems. ECR enables callers to reach the right resource the first time, or to be transferred without having to make a new call. ECR is scalable, adapting to applications from simple menu routing to complex systems that require more advanced features. An endless variety of feature combinations is available to make sophisticated, unique, business solutions.

ECR will eliminate the need for AWI to invest in new hardware, software, and services personnel because Verizon Business hosts, services, and upgrades this Contact Center Solution. ECR utilizes Verizon's next generation service nodes (NGSN), and is fully integrated with the Verizon Business network, in an effort to allow AWI to maximize their Customer Relationship Management (CRM) applications. In addition, AWI can take advantage of SAFE - an encryption technology that Verizon Business has implemented which provides added security to the transmission of customer private data. This is specifically valuable to enterprises that include sensitive personal information (SPI) in their ECR applications. When they do include SPI and have data passing from our network to the premises, SAFE can help secure that data.

Hosted Intelligent Contact Routing (ICR)

Hosted Intelligent Contact Routing (ICR) is a comprehensive, managed, network-routing solution that intelligently routes multimedia transactions, such as voice, e-mail, chat, and web collaboration for contact centers. Hosted Intelligent Contact Routing will provide the State of Florida the ability to virtualize multiple contact centers as one enterprise. Deployed in a network-class environment and accompanied by a suite of optional managed services, Hosted ICR is based on software from market leader Genesys Telecommunications Laboratories.

Verizon's Hosted ICR service provides contact-by-contact intelligent routing, through a universal queue, that directs each contact to the agent best able to serve each claimant's need, whether in a contact center, home office, or at a remote branch office location. Hosted ICR employs user-defined business rules, caller characteristics, data requested and provided by the caller, and data retrieved from contact center host computers (HostConnect) - all within the Verizon Business network.

Hosted Interactive Voice Response – Speech Services

Speech Services is a suite of network-based services utilizing automatic speech recognition (ASR) and related technologies to enable callers to conduct self-service inquiries and transactions via the telephone.

By offering State of Florida claimants the option to use automated speech, AWI will be able to serve callers more efficiently, reduce queues (resulting in shorter hold times and fewer abandoned calls), improve the overall caller experience, and reduce expenses.

Since speech technology is rapidly evolving, Verizon Business has deployed speech engines from the industry's leading vendor, Nuance, to offer one of the most accurate speech recognition and natural sounding text-to-speech. Verizon Business hosts the speech applications on a reliable, redundant, scalable platform that is housed in multiple secure data centers on our network. Our platform is engineered to deliver a robust feature set, supporting applications that allow your customers to get the most out of the speech capabilities.

- Speech Services can be delivered to AWI in a variety of ways to meet claimant's needs and environment. Service delivery models include Hosted, Managed, CPE and Open-Hosted.
- Open Hosted Speech bridges the gap between a CPE solution and a hosted environment and enables enterprises with the appropriate resources to develop their own speech applications, or have Verizon Professional Services perform the development. Enterprises can then own and manage their speech applications, while benefiting from the lower total cost of ownership and reliability of a hosted solution.
- Speech Services can be delivered to customers using either Time-Division Multiplexing (TDM) or IP.

Verizon Business is providing our standard speech capabilities for the AWI ITN in an open-hosted environment. As additional requirements are determined (during additional phases of the procurement process), Verizon Business' proposed solution will provide the added flexibility to modify any appropriate speech recognition rules and policies.

Verizon Professional Services

Verizon Business will be providing professional services support as a part of its solution for the state of Florida AWI ITN in key areas of:

- Verizon Agent Desktop (VAD)
- HICR PS Services

Verizon Business will provide stated and defined work so that the Verizon Agent Desktop (desktop interface state of Florida customer service representatives will use) supports the stated business requirements as outlined in the State of Florida AWI ITN.

d. Describe how the Agency users will interact with the system to perform their activities.

Claimants have multiple ways to access the application. The agency users have a single entry window. Agency users can log in the Florida AWI UC application by using a web browser and accessing the application portal. The role based application automatically determines the access level of the user, and takes the user to their home page also known as the Inbox.

In their Inbox page, the users are provided with the work objects that need their actions. These work objects are listed in the highest priority to lowest priority order. This way, the user does not have to search and choose the work object that requires their immediate attention.

By selecting the work item, the user can see the work object details and a link to the appropriate function that needs to be performed. Clicking on the link, takes the user to screen that requires their action. Once the action is performed, the work object is closed and the AWI user can continue to work on the next work object and so on.

The user can access the left hand side menu that lists the various options that are available for the user. Agency users can access any menu option for which they have access and perform the operations. Figure 6.1.8 describes the Main Menu structure with an expanded Claims Menu. The Main Menu contains all the features of our comprehensive working UC solution. This meets AWI requirements for:

- One click navigation
- Ease of use
- Intuitive menus
- Efficient performance of day to day functions.

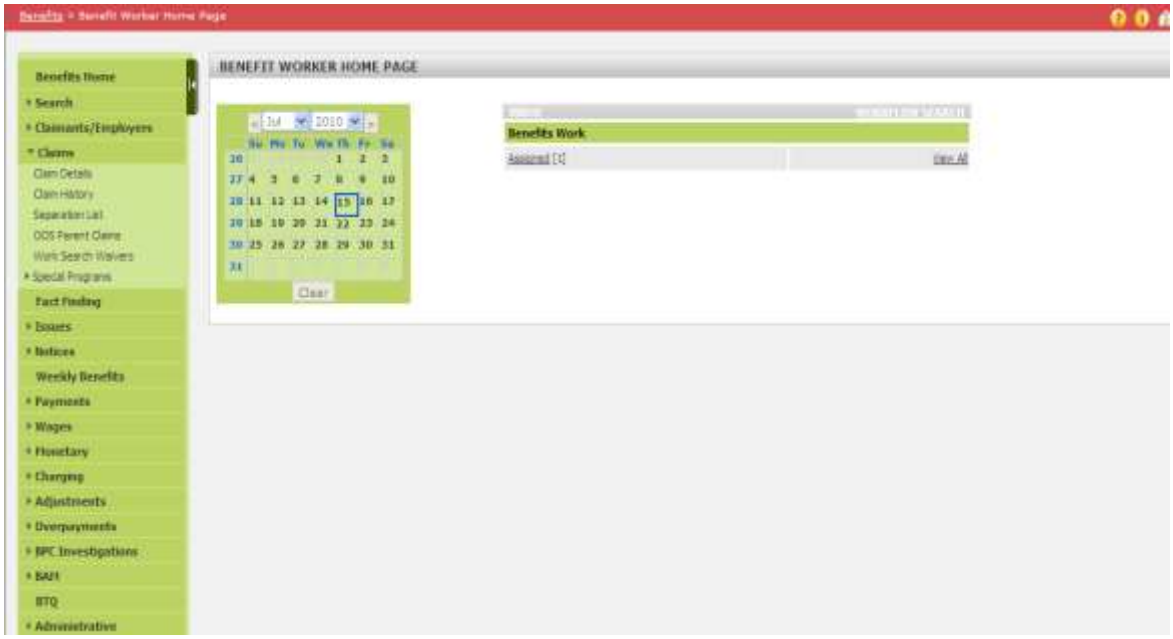

Figure: iGOVERN™ Menu Structure

The Agency user can get the claim using the dynamic search menu and select the specific claim. Once the claim is selected, the claim information is carried over to every page that requires claims information. The user does not have to select the claim again, unless there is need for another claim search.

Based on the claim selected, the user can see the claim details. This contains all the current information that is in the application. Any action that the user needs to execute can be performed.

Claims history displays all the history of the claim. Every time a claim is modified, the application creates a history record. The list of those changes to the claim is displayed in Claims History page. Every change in a claim is saved for audit purposes. This helps the users, management and system administration staff to determine when and by whom was the data changed.

The separation employer(s) for that claim are listed in the Separation Employer List. Claimants can have multiple employers and by clicking on this link, users can find the list of separation employers.

The user can see the Out Of State claims list, by clicking on OOS Parent claims. If the claim is from out of state and those claims will be listed and details of the claim, originating state will be displayed.

If the claim was an EB or EUC or TRA or a DUA claim, they are all listed under special programs. Every claim is categorized in to a specific claim type. Extended benefits, Emergency Unemployment compensation, Trade Readjustment act or Disaster unemployment assistance are the special programs that available at this point in time.

The completely integrated reporting engine enables the user to produce reports that are pre-built and standard in the application. In addition, the reporting tool allows the user to dynamically create reports. The One click Icons that are present under the left hand side (LHS) menu makes the navigation easy to go to other modules such as Caseflow, CSS, and Appeals.

The feature rich iGOVERN™ product allows agency users to search, add, update, and view data in the application.

e. Describe how the proposed solution enables all users to interact, collaborate and communicate with each other to achieve the goals and objectives of the UC program.

The proposed solution is designed to facilitate interaction between claimants, business users, 3rd party administrators, and the AWI management team. The solution creates synergy between all the parties involved allowing them collaborate and communicate with each other to achieve the goals and objectives of the UC program.

iGOVERN™ solution ensures interaction, communication and collaboration between customers and stakeholders with its in-built features mentioned below:

- Ease of Use
- Data integrity
- Automation using workflows
- Reporting Engine
- Content management
- Interfaces and adapters
- Call centers and IVR
- Business rules engine

Interaction:

The proposed solution acts as a medium through which the stakeholders and customers interact with each other. Interaction between the stakeholders and the customers is sometime direct and sometimes through the outputs of the solution. The claimant accesses the IVR system to find out the status of the initial claim that was filed. Through IVR, the claimant is informed that there are

issues found in the claim application and it is placed in the adjudication work queue for an issue resolution and decision. The claimant can request to speak to agency staff and can inquire about the specific issue and what can be done to resolve the issue. The claimant takes corrective action to resolve this through CSS or by sending the required supporting documentation via US Mail/Fax. The supporting documentation gets scanned, imaged, indexed and stored in iGOVERN™ content management system. An work object is created for the adjudication officer. The adjudication officer resolves the issue and issues a decision. The monetary decision is issued and the system calculates the weekly benefit amount and releases the weekly benefit amount. The system ledgers are updated. Drawdown amounts are calculated. The claimant receives the benefits amount.

Communication:

The iGOVERN™ solution facilitates communication between the customer and the stakeholders via email, call centers, internet, forms, correspondence and work objects.

There are two forms of communication. One is system generated and the other one is between stakeholders and the customer. Both forms of communications are used to facilitate processing of claims, resolving of issues, approval or denial of requests and all things that are related to unemployment compensation. Automatic workflows enable completion of a work object by an end user. The workflows can be single or multi step workflows. If it is a multi step work flow, the system automatically moves the workflow to the next user once the previous end user has completed a portion of the workflow. For example, when an audit is completed, the workflow is automatically assigned to the supervisor for review and closing.

When an issue is created in CSS a workflow is sent to the adjudication officer. Upon resolution of the issue, the workflow object is closed and a letter is sent to the claimant informing the claimant on the decision. If the decision was denial, the claimant can file an appeal in CSS or by mail to the agency, creating workflows and appeal scheduling.

This continuous and automatic flow of communication between the stakeholders and customers improves performance of the agency, increases productivity of the agency staff and results in a timely resolution for the customer.

Collaboration:

For realizing the goals and objectives of the UC solution, the critical part of the solution is to enable the successful collaboration between customers and stakeholders. iGOVERN™ enables collaboration by bringing together all the actors involved into a single goal of ensuring unemployment compensation to the claimants. Claimant is responsible for the initiating the claim with real, accurate and truthful data. Upon submission, if there are issues they are researched by the agency staff. This requires interaction and communication with the claimant, claimant's employer, and external agencies. This collaborative effort results in issue resolution. Without this effort, the amount of time that it would take to resolve a claim issue and pay the claimant would be longer and would result in less than efficient customer service.

The pace of collaboration is increased by the processes in built in iGOVERN™. The ease of use screens, efficient data validations, automated workflows, ability to view the content of communications using content management solution. The highly configurable reporting engine allows the management to evaluate the performance and efficiency of the UC program. The iLog JRules business rules engine enables change in business processes without any significant and major programming changes. The presence of the IVR application and the associated call centers enable the claimants to perform their tasks easily and get the status and related information via the telephone from wherever they are.

iGOVERN™ acts as a device that facilitates interaction, communication and collaboration between the stakeholders and the claimants in achieving the goals and objectives of the Unemployment compensation program.

Expected Performance Improvement Analysis – iGOVERN™ solution Roadmap

The following are the stated performance objectives of the UC modernization program in the feasibility study.

Enhanced customer self-service and streamlined claims processing creates system efficiency gains resulting in a reduction in the number of calls

The Claimant self-service module of iGOVERN™ is a comprehensive, easy to use, functional rich, and highly secure application. CSS has been designed with the assumption that the claimants who are using the system do not have a high degree of proficiency with computers and with the technologies. To encourage those claimants, CSS screen design has used the following methodology.

The end-user interface for Florida UI Solution customers and internal staff is a web browser. The browser-based user interface includes the following features:

- Intelligent Screen Flow – Hypertext links to "Next" and "Previous" screens and content aware navigation are included.
- Role-Based Screen Flow – Selection of home page, menu items, and appropriate menus / screens are based on user role.
- Table-Driven Content – End-users can modify table entries to affect changes in the screens that end-users and customers see.
- One Click Navigation – A user can click one time to retrieve all of the documents associated with a given workflow item.
- Variable User Input Formats – Screens are optimized based on the end-user (high speed data entry using codes versus descriptive information for step-by-step "wizards").

The iGOVERN™ Product technology allows AWI to respond to changing business requirements without changes to program code. For example, editable iGOVERN™ configuration files contain the content for self-service (claimant) screens. By modifying the configuration (XML) file, the number and content of claims questions may be changed on the end-user screen without programming. Access to application screens is determined by a user profile created by the self-service user upon initial access of the web application.

The screens are ADA compliant and meet 508 standards.

The questions to claimants are clear, concise, with no ambiguity with the user having to choose Yes/No answers. The application is integrated with a context sensitive help engine. Detailed help text and diagrams are available to help the claimant answer the questions correctly.

CSS is designed to minimize the free form key strokes, which in turn minimizes errors and improves the quality of data. CSS has in-built validation routines for the data entered on the pages that are robust. These validations ensure that the claimant information is devoid of any errors and a clean claim or a continuous claim can be filed. If there are any errors in the data entered by claimants, CSS application returns with error messages informing them of the specific data in error and gives pointer on why it is an error and how to fix those.

CSS application ensures the data integrity is maintained causing very few issues to be raised. This translates to very few calls to AWI. Please see the section on 'Tangible Benefits' on the productivity gains has been achieved in other states by CSS application.

Enhanced customer self-service and streamlined claims processing improving the quality/accuracy of claimant info resulting in fewer non-monetary determinations.

Most of the nonmonetary claims are caused by one or more of the following reasons

a. Claimant entering invalid SSN

b. Claimant entering incorrect employer information

c. Claimant entering the incorrect/false separation reason

d. Answering questions incorrectly on the fact finding

CSS validates the SSN entered by accessing Social Security Administration database real time. Upon validation, if the SSN is incorrect, system displays an error message informing the claimant that the SSN entered is invalid. This reduces opportunities the entry of invalid SSN. This reduces the creation of issues.

If the claimant SSN entered is valid, the application retrieves all the employers that the claimant has worked from the wage database tables. While submitting an initial claim the claimant has to choose one of the employers on the list that is being displayed or initiate a search. Most of the claimants have 1 or 2 employers during the base period. This information is displayed in a list and choosing the correct employer eliminates any questions on wage determinations, thereby reducing the nonmonetary decisions.

Non monetary decisions are created when a claimant enters a false or incorrect separation reason. The proposed Florida AWI UC solution contains provisions for employers to submit mass separations to the agency. If the claimant is one of the employees that are a part of mass layoff, the system automatically matches the reason. This reduces nonmonetary decisions.

A Dynamic Fact Finding (DFF) tool implemented in the product is in its 3rd iteration as it has been field tested in Michigan and in Indiana. Hence, the dynamic fact finding tool reduces significantly the chances of incorrect answers being entered. The intelligence built in the DFF application has greatly reduced the issues created as shown in the section on 'Tangible Benefits' on the productivity gains has been achieved in other states by CSS application.

Enhanced customer self-service and streamlined claims processing, improving the quality/accuracy of claimant info resulting in a reduced # of appeals.

In the previous step, HCL has described how the nonmonetary decisions will be reduced by using CSS. One of the important benefits of reduced nonmonetary decisions is the number of appeals that are filed by claimants.

Claimants complete their own claim application in CSS. This data is recorded by the system. The claimants certify that the data entered in the system is accurate and true. If there are any issues created because of incorrect data entered, that results in a nonmonetary decision, the claimant can correct the claim information in CSS and resubmit for processing.

If a claim resulted in a nonmonetary decision because of falsification of claim, the claimant will be notified by correspondence of the decision made along with the supporting documents certified and submitted by the claimant.

Reduced non-fraud overpayments, which results in a higher UC Trust Fund balance being maintained.

Non fraud overpayments are created due to 3 primary reasons

1. Claimant overstates the reported wages causing a higher monetary calculation and disbursement.

2. Employer overstated the reported wages for the claimant resulting in higher monetary calculation and subsequent adjustments of wages at a later date.

3. Agency error caused because of:

    1. Non-availability of real time data
    2. Redundant data entry
    3. Data residing in multiple databases across multiple systems

iGOVERN™ is an integrated product that contains wage information at the claimant level and at the employer level. This data is stored in a centralized repository and is available real time to agency staff.

There is a single data entry point for wages. This eliminates the possibility of data being gathered in multiple places.

Currently Florida has a separate system called Benefits Overpayment Screening System (BOSS). This system interfaces with the legacy data and there are interfaces for communication of data between BOSS and legacy applications. The proposed Florida AWI UC solution is an integrated solution and there is no data communication or interfacing between the benefits application and the overpayment application.

Increased interest revenue due to reduced trust fund disbursements.

Reducing the non-fraud overpayments increases the trust fund balance. Enhanced and improvised overpayments collections increases the trust fund balances. The collections sub-module in iGOVERN™ is flexible and robust. The pre-built interface with a 3rd party collection agency with well defined rules for collections process increases the money collected iGOVERN™ comes with a payment gateway that can accept credit cards, debit cards, and e-checks as a part of the solution. This solution has been in production in Indiana. While it is difficult to put a specific amount of monies that could be earned as interest, it is accurate to say that the solution will cause a positive uptick in the interest money earned due to reduced disbursements due to fraud and increase in collections.

Reduced average claim duration due to faster re-employment resulting in reduced trust fund disbursements.

iGOVERN™ CSS application is an user friendly and easy to use application. Claimants can complete their weekly certifications faster and can return to job search. Reducing the amount of time that is required for a claimant to complete their continued claims processing will help them to concentrate on their job search.

Fraud prevention process is one of the salient features of the iGOVERN™ product. Early detection of fraud and establishment of overpayment, especially when a claimant is gainfully employed and still continuing to draw benefits, will reduce the amount of disbursements from the trust fund.

6.2 System Development

a. Describe the proposed system development lifecycle methodology that supports the requirements of Section D, Exhibit 1, 8.2 through 8.14.

HCL proposes to follow an "**Incremental Business Process Integration"** methodology for implementation**,** which will result in a step by step and seamless solution as per AWI requirements. This methodology focuses on **early risk mitigation** and extensive testing before the solution gets rolled out for acceptance testing. It also includes an **early feedback mechanism** from business users on smaller increments in order to de-risk the complete cycle and avoid any surprises during Acceptance Testing.

The following diagram illustrates the approach taken from the start of the project until post implementation support for each rollout cycle. Each rollout cycle may have one or more business processes implemented and rolled out, using the same approach. Based on Florida Statue 443.1113, HCL proposes the project to have three rollout cycles implementing the following business process:

- Claimant Self Service Internet Portal
- Call Centre Interactive Voice Response System and Benefit Overpayments Screening
- Benefit and Claims Intranet and Appeals Internet and Intranet.

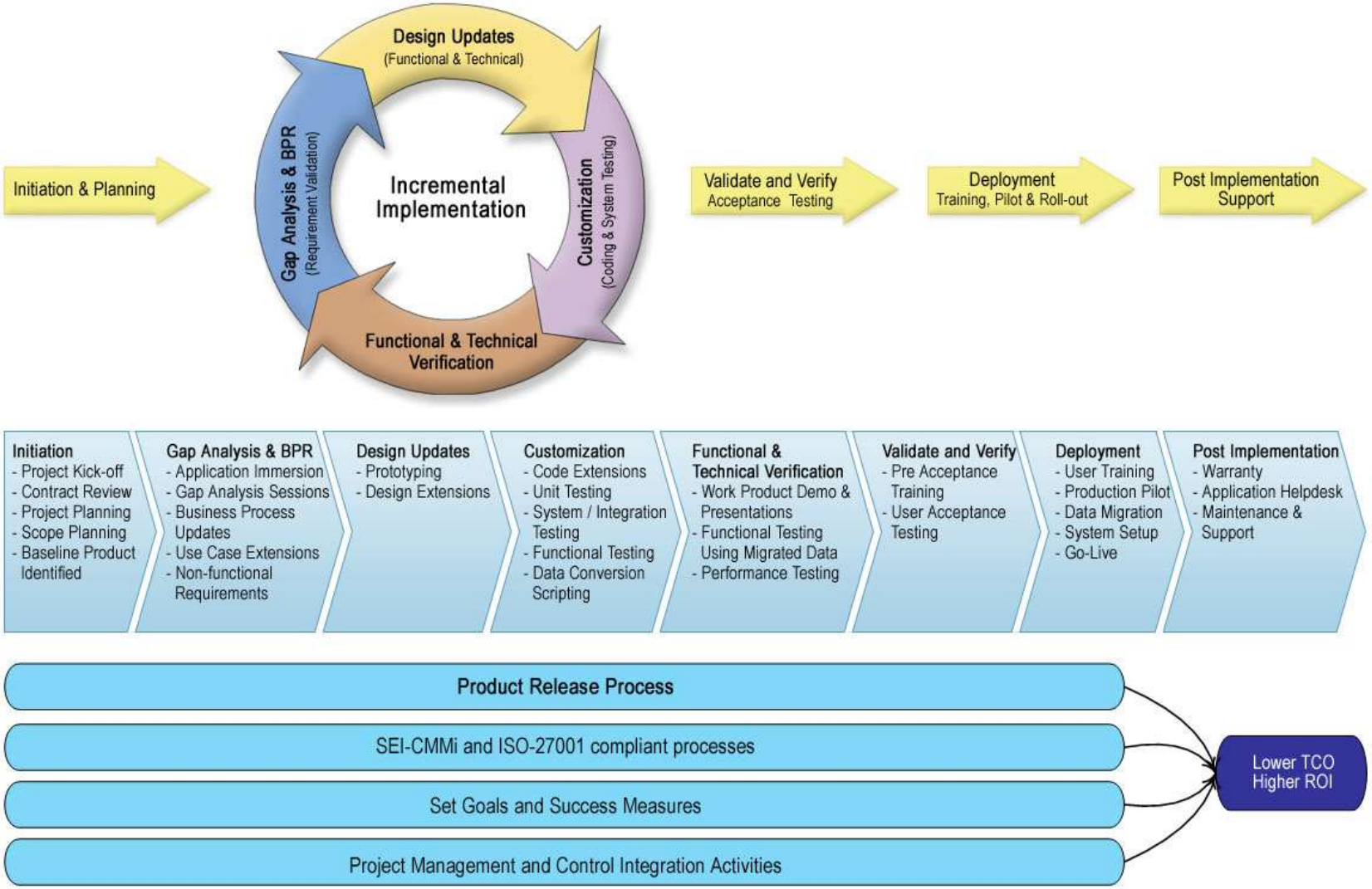

Figure: iGOVERN™ Incremental Business Process Integration Methodology

Each phase within a cycle would have clearly defined pre-requisites or entry criteria, set of planned tasks, validation points and expected outcomes or exit criteria. In other words, to measure and review the progress, each phase would follow an ETVX *(Entry, Task, Validation, and Exit)* model as described below: -

- Input for tasks is validated at Entry point.
- Tasks objectives are well defined.
- Validation mechanism is identified for any output(s).
- Sign-off of output(s) to exit from the tasks.

Initiation & Planning / Project Start up

This phase will start with the project initiation meeting. The objective of this phase is to arrive at a base-lined project schedule. During this phase the project team will be finalized including the SPOCs (Single Points of Contact) from AWI and HCL.

Entry point (Inputs)	Tasks	Validation	eXit (Output)
Executed Contract	• Project Kick-off Meeting • Present Solution Overview • Document Scope of Work • Determine Project Team Structure • Finalize Project Schedule • Agreement on Project Metrics • Establish the Project Governance Model, Quality Plan and Change Control Process • Establish Communication plan • Determine Logistics Availability • Conduct Project Kick Off • Gap Analysis Sessions for Hardware and Software Requirements	Joint Review & Meeting	• Project Management Plan • Base-lined Project Schedule • High Level Project Scope • Hardware and Software for Development, System Testing, UAT & Production

Deliverables

Deliverables	Contents
High Level Project Scope	• Statement of Work (SOW) • Requirements Traceability Matrix (RTM)
Project Management Plan	PMP will include but not limited to the following: • Project Plan/Schedule • Team Structure • Deliverables & Receivables • Quality Assurance Plan • Project Monitoring and Controlling Mechanism

Deliverables	Contents
	• Disaster Recovery and Business Continuity Plan for the Development Environment • IT Plan (Equivalent to Technical Standards & Environment Plan) • Risk Management Plan • Communication Plan – Reporting and Meeting structure • Configuration Management Plan • Issues Management Plan
Change Management Plan	• Change Control Board • Change Request Process
Test Plan	• Testing Methodology • Type of Testing
Training Plan	• Training Methodology • Type of Training
Data Conversion Plan	• Data Conversion Strategy
Work Space / Place	• Office space for HCL and AWI project staff , • HW and SW Setup • Setup logistics such as phones, fax, photo copiers, projectors, desks, chairs, training and conference rooms etc

Gap Analysis and BPR

In this phase HCL and AWI will finalize the requirements for the proposed solution. This phase will start with application immersion to familiarize AWI team with HCL's solution, followed with Gap Analysis Sessions & Workshops to establish the gaps between the solution's out of the box offerings and the state's custom requirements. The scope of this phase will include Functional, Technical, Non-functional and Data Sources requirements.

Gap analysis phase will be conducted by HCL business and system analysts with State SME's and technical team for each increment, with well defined objectives such as: -

- Conduct Gap Analysis and workshops to understand
  - Detailed requirements for each increment
  - As-Is business processes
  - To-Be processes
  - Establish the gaps between To-Be processes and solution's core offerings
- Business Process updates
  - Identify candidate business processes for updates
  - Perform re-engineering of the selected processes with agency SMEs
- Documentation
  - Update / extend product use cases based on finalized business processes
  - Capture requirements in a Systems Requirements Specification (SRS) document
  - Get Requirements Documents reviewed and signed-off by AWI

Agency Users and SMEs start getting familiar with the rich functionality and the features of the solution at this early stage which helps them participate in all other phases in a better way and yielding better quality of the end product. Having a ready product and documentation means the project team spends time only in bridging the gaps rather than building everything from scratch.

Entry Point (Inputs)	Tasks	Validation	eXit (Output)

• Baseline Project Schedule
• Project Scope
• Baseline Project Management Plan
• Requirements Traceability Matrix
• iGOVERN™ Base Product Use-cases
• iGOVERN™ Base Product Prototype
	• Application Immersion
	• Create Session Calendar and Agenda
	• Formal Meetings and interviews to finalize:
	  ○ Custom Functional Requirements
	  ○ Custom Non-functional Requirements
	  ○ Workflows
	  ○ Data Sources
	  ○ User Interface Needs
	  ○ Reporting Requirements
	  ○ Forms & Correspondences' Requirements
	  ○ Secure templates of Reports, Forms & Correspondences
	• Prepare Software Requirements Specification Document
	• Prepare High level Acceptance Test Scenarios
	• Extend Use-cases based on Established Gaps and AWI's custom requirements
	• Identify External Interfaces
	• Requirement Validation Meetings
		• Joint Review & Approval
		• Review High Level Acceptance Test Scenarios
			• Extended Use-cases
			• Software Requirement Specifications Document
			• State Templates
			• Minutes of Formal Validation Meetings
			• Approved High Level Acceptance Test Scenarios
			• Updated Requirements Compliance Matrix
			• Updated Requirements Traceability Matrix
			• Updated Project Document Repository
			• Updated Project Scope and Estimation (optional)

Entry Point (Inputs)	Tasks	Validation	eXit (Output)
	with Stakeholders • Status reporting to all stakeholders		

Deliverables

S. No	Deliverables	Contents
1.	Software Requirements Specifications Document	• Functional Description – Extensions and Additions • Document Management & Workflow Rules • Online Data Capture Requirements • Security • System Performance Goals • Interface Requirements • Finalized System Architecture Extensions
2.	Extended / Updated Use Cases	• Business Rules • Roles & Responsibilities
3.	Requirements Traceability Matrix	• Mapped Requirements
4.	Acceptance Test Scenarios	• Key Scenarios and Acceptance Conditions
5.	Compliance Matrix	• Requirement Compliance to iGOVERN™ Baseline Product.

Design Updates

Based on the documented and AWI approved software requirements specifications, the HCL team will update the existing core product design as per AWI requirements, create the detailed training plan for the users and will prepare the system test cases for the testing phase. Both - Functional as well as Technical – designs will be updated in this phase and each increment will have its own detailed design phase. HCL team will also detail out the data conversion mapping, as needed in the current iteration, according to the software requirements specifications.

Design activities are carried out with the objective of extending the existing design so that it continues to provide a better user experience without compromising on the design principles, it is based on.

Entry Point (Inputs)	Tasks	Validation	eXit (Output)

Entry Point (Inputs)	Tasks	Validation	eXit (Output)
• Extended Use-cases • Software Requirements Specifications Document • External Data File Structure • iGOVERN™ base-lined prototype • Requirements Traceability Matrix • Functional and Technical Requirements Specifications • External Data File Structures • iGOVERN™ Base-line Architecture	**Functional Design** • Prepare and Circulate Design Session Calendar and Agenda • Update / extend Product Prototype • Update / extend Business Process Diagrams • Prototype Immersion **Technical Design** • Update Core Product Design as per Requirement • Update Database Design and ER Diagrams • Finalize Data Mapping • Revisit Module Definitions & Specifications • Revisit Definition of Classes, Components and Pseudo Code • Prepare Test Cases – System, Integration and Performance • Install & Configure Server Hardware, Software & Scanners • Setup Development Environment	• Internal Peer Review • Review by AWI • Security Reviews • Defect Tracking and Resolution	**Functional Design** • Updated Prototype • Design Extensions • Updated Project Repository • Logical Data Model Extensions **Technical Design** • Updated High Level and Low Level Detailed Design Document • HCL-approved Test Case Extensions • Updated Interface Design Documents. • Data mapping document • Updated Requirements Traceability Matrix • Physical Data Model Extensions • Updated Guidelines • Updated Technical Architecture • Review Logs

Deliverables

S. No	Deliverables	Contents	Responsibility	Recipient

S. No	Deliverables	Contents	Responsibility	Recipient
1.	Updated Product Design Document	• Deployment Diagrams • Workflow Maps	HCL	Agency
2.	Data Conversion Mapping Document and Data Model	• External Data files • Data Fields Mapping • Verification Process • Problem Solving	HCL	AWI
3.	System Test Cases	• Detailed System Test Cases	HCL	HCL
4	High level Acceptance test scenario	• Test Scenarios for the Application Acceptance	AWI	HCL
5	Requirement Traceability Matrix	• Mapped Requirements	HCL	AWI
6	Updated Integration Architecture Document	• Integration Interface Definition Approach	HCL	AWI

Customization (Coding & Unit Testing and System & Integration Testing)

Coding & Unit Testing

This phase will involve configuring & customizing the core components and developing new components based on the detailed design document, followed by Unit Testing. At the end of this phase, a unit tested build will be provided to the QA team for system testing.

Our approach stresses on the importance of delivering the maximum possible functionality through the configuration and customization mechanisms available within the solution by extending the existing functionality. It is intended that the minimum possible functionality is build from scratch.

Entry Point (Inputs)	Tasks	Validation	eXit (Output)
• Updated Prototype • Detailed Design Document • Data Conversion Mapping Document • Technical Specifications • Requirements Traceability Matrix • Code Review and Coding Phase Checklists	• Setup Development Environment. • Setup and Configure Automated Code Review Tool • Setup Database • Coding for features requiring customization and/or new development, followed-by Unit Testing	• Review/Validate Acceptance test cases • Review data conversion scripts • Unit testing of the customized and new code • Ad-hoc interface testing	• Build for Testing phase • Base-lined Source Code • Unit Test Logs and Reports • Review Records and Logs • Approved Implementation Plan • Approved Acceptance Test Cases

Entry Point (Inputs)	Tasks	Validation	eXit (Output)
	• Creation of Forms, Correspondences and Reports as per AWI Templates • Interfaces' Customization / Development • Code Reviews • Run Code Profiling Tests • Close Unit Testing and Review Defects • Development of Implementation Plan • Creation of Detailed Acceptance Test Cases • Prepare Data Conversion Scripts • Creation of Training Plan • Setup Testing and Production Environments • Provide Unit-tested Preview Releases • Provide Build Releases to the Testing Team for the Testing Phase		• Approved Data Conversion Scripts • Approved Training plan • Updated Requirements Traceability Matrix

Deliverables

S. No	Deliverables	Contents	Responsibility	Recipient
1.	Database	• Database Scripts	HCL	AWI
2.	Unit Tested Preview Release	• Unit Tested Running Application	HCL	AWI
3.	Data Conversion Scripts	• Data Conversion Scripts	HCL	AWI

S. No	Deliverables	Contents	Responsibility	Recipient
4.	Detailed Training Plan	• Training Material Description • Training Schedule • Training Structure	HCL	AWI
5.	Requirements Traceability Matrix	• Mapped Requirements	HCL	AWI
6.	Acceptance Test Cases	• Detailed Acceptance Test Cases	AWI	HCL
7.	Implementation Plan	• Increment Implementation plan	HCL	AWI

System and Integration Testing

In this phase, the HCL team focuses on Product Testing, before delivering the code for User Acceptance testing to AWI:

Entry Point (Inputs)	Tasks	Validation	eXit (Output)
• Approved Test Cases – Integration and Performance • Approved Data Conversion Mapping Document • Baseline Data Conversion Script • Test Environment Setup • Requirements Traceability Matrix • Unit Tested Release	• Integration Testing • System Testing • Regression Testing • Performance & Load Testing • Data Conversion Export Testing • Data Conversion Import Testing • Implementation Testing • Prepare Training Material	• Test Case Execution • Review Training Material	• System Test Results • Integration Test Results • Performance & Load Test Results • Release of Build for Implementation • Implementation Test Results • Tested Data Conversion Import • Ready to Implement System • Training Material

Deliverables

S. No	Deliverables	Contents	Responsibility	Recipient
1.	System Test Results	• Executed Test Cases	HCL	AWI
2.	Integration Test Results	• Executed Test Cases	HCL	AWI
3.	Performance & Load Test Results	• Executed Test Cases	HCL	AWI

S. No	Deliverables	Contents	Responsibility	Recipient
4.	Data Conversion Export Testing Results	• Test Results	AWI	HCL
5.	Data Conversion Import Testing Results	• Test Results	HCL	AWI
6.	Requirements Traceability Matrix	• Mapped Requirements	HCL	AWI

Functional Verification

As HCL team customizes and/or enhances its base product for AWI custom requirements, it solicits feedback from the AWI team concerning the operation of the new functionality provided. This will also help AWI in engaging its key users early in the solution development process, resulting in greater acceptance of the new solution.

Early feedback is an important contributor in the success of the project which helps in identifying potential gaps early and de-risk the project.

Entry Point (Inputs)	Tasks	Validation	eXit (Output)
Unit Tested Release	Demonstration and Presentation of the Developed Work Products	Verification of the Key Functionalities / Processes of the Work Products	Functionally verified release

Deliverables

S. No	Deliverables	Contents	Responsibility	Recipient
1.	Functional Verification results	• Demonstration and Presentations	HCL	AWI

Validate & Verify

Training

Learning and Development, or Training is one of the most critical exercises in a system deployment life cycle. The training program needs to be customized and sensitive to the demands and nature of job of each of the user groups. Recognizing the importance of training before the UAT, and taking account of the specific needs of each work-group, HCL has developed a multi-pronged training program tailored to the role/function of the training recipients. As part of Validate & Verify phase, HCL will train the AWI users selected for User Acceptance Training and, subsequently, the End-users for day to day system usage.

Having an early training helps the users in doing UAT more effectively so that the best possible feedback can be received this making the subsequent phases much smoother.

User Acceptance Testing (UAT)

This phase will begin following the completion of the Testing Phase of the project. The UAT environment will be created and UAT will be performed based on acceptance testing cases provided by AWI during customization phase. The UAT will be carried out by the Agency's UAT testers and confirmed by Agency stakeholders. Once the application is successfully validated the application will be considered accepted and ready for production rollout.

Entry Point (Inputs)	Tasks	Validation	eXit (Output)
• System Tested Build for UAT • State Trainers and UAT testers • Training Plan • Training Material • Hardware and Software for the UAT Environment	• Conduct Training for Core Project & UAT Staff • Create UAT Environment • Conduct UAT • Rectify UAT defects (if any) • Create Warranty Plan and Maintenance & Operations plan • Finalize Service Level Agreements • Finalize Post-project Evaluation criteria	• User Testing of System • Review of Warranty Plan and Maintenance & Operations Plan • Review of Service Level Agreements and Evaluation Criteria	• Trained Staff and Trainers • UAT Sign-off • Implementation Documents • Known Issues log • Maintenance Documents • SLAs, SLMs • Post-project Evaluation Documents

Deliverables

S. No	Deliverables	Contents	Responsibility	Recipient
•	User Accepted Application	• Tested and Verified Application	HCL	AWI
•	Maintenance Documents	• Maintenance Information • SLAs • Troubleshooting	HCL	AWI
•	Implementation Documents	• Web Services • Deployment Document	HCL	AWI
•	Known (Current) Issues Log	• Issue Logs	HCL	AWI
•	Post-project Evaluation Documents	• Project Evaluation	HCL	AWI
•	Requirements Traceability Matrix	• Mapped Requirements	HCL	AWI

Deployment

End-User Training

In this phase, HCL and its sub-contractor University of South Florida will provide incremental classroom training to AWI users selected to use the given increment / release of the system. HCL will create elaborate comprehensive training plan, along with extensive training material, explaining in detail the training schedule, methods and training kit deliverables to be used for training.

Pilot

This phase will include the Pilot roll-out of the application increment to a group of selected users. During pilot, the users will continue to work on the existing environment as well as new system for a defined duration. Any issues identified during pilot will be fixed. HCL will work with the agency to maintain a log of all issues / tickets logged during the pilot tenure.

After the pilot duration is over, the solution's performance and fit to purpose will be evaluated and accordingly "Go – No Go" decision shall be taken by the AWI team to take the application "Live" with full roll-out.

Roll-out / Go Live

Once the AWI stakeholders take a "GO" decision for solution's roll-out, the application increment will be deployed for the remaining user community as well.

Entry Criteria	Tasks	Verification and Validation	Exit Criteria
• UAT Sign-off from Customer • Signed-off Build is Available for Deployment • Production Environment is Available • Approved Implementation Plan and Checklist are Available • Roll out Plan for implementation	• Setup of Production environment • Knowledge Transfer and Training as per Training Plan • Production Rollout to Pilot Users as per Implementation Plan • Notifications sent to Customer as per Implementation Plan • Support during Implementation • Final Roll Out to All Users	• Review Implementation Checklist	• Pilot Sign-off • Implementation Sign-off from Customer

Post Implementation Support

Post Go-Live of the solution, HCL will provide Warranty on the solution for 365 days, followed by application maintenance & support to help the state with regular maintenance, enhancements and fixing of the application.

Warranty

Entry Criteria	Tasks	Verification and Validation	Exit Criteria
• Solution Go Live • Warranty Plan with Accepted SLA	• Issues & Defects Management • Issues & Defects Resolution • Help Desk Services	• Review of Tickets Resolution	• Warranty Closure

Application Support & Maintenance

Entry Criteria	Tasks	Verification and Validation	Exit Criteria
• Maintenance and Operations Plan	• Issues & Defects Management • Issues & Defects Resolution • Help Desk Services • Hot-fixes, Patches • Support for Change Orders	• Review of Tickets Resolution	• Contract Closure

i. Describe the proposed requirements validation approach and methodology for this project. Refer to Section D, Exhibit 1, 8.2, Requirements Validation.

Considering that the AWI UC solution will be built using iGOVERN™ product, requirements validation will be done through Gap Analysis process. This will follow the ETVX model proposed as part of the "Incremental Business Process Integration" model discussed earlier. Validation of requirements is a key task in business analysis, because the requirements serve as the foundation for the solution meeting the business needs. It is essential that the requirements be complete, clear, correct, and consistent. Leveraging proven means to validate requirements will help meet these quality goals. iGOVERN™ has a set of base processes which come with the standard implementation and are capable of meeting standard system requirements. These are also flexible enough to be modified to fit the specific needs of the implementation. Based on the requirement set defined by AWI, it is understood, that there will not be a complete fit of these requirements with the existing system. The gap analysis sessions will be conducted, and will focus on gaining a complete understanding of the AWI processes. They will form the basis of customization and configuration necessary to address the additional requirements. A collaborative approach will be followed during Gap Analysis using the following methods:

- **Application Immersion** - The task of requirements gathering and validation is initiated by making the Subject Matter Expert (SME) group at the Agency aware of the features and functions available in the iGOVERN™ baseline product.
- **Formal Requirements Validation Sessions** - The SME group attending the requirements validation sessions are engaged in reviewing System Requirements in conjunction with the iGOVERN™ baseline system to validate each requirement.

- **Stakeholder Validation**- Visits and other means of outreach to each SME group and other stakeholder groups are the means by which process differences and best practices are documented and stakeholders are made a continuing part of the project.

Application Immersion

HCL has used the application immersion technique in many previous project implementations, and found this to be an invaluable tool. This brings together an extended group of stakeholder representatives and provides them with an overview of the features and functionality of our iGOVERN™ base-line product. Having become familiar with this product, these sessions stimulate the attendees to discuss current work processes and think about how they might be accomplished in the future by using the iGOVERN™ system.

When requirements are later formally reviewed in the validation sessions, the knowledge gained from the application immersion allows the SME group of representatives to be able to visualize more clearly the following alternatives:

- The current system functionality is supportive of the cited requirement
- The current work process can be changed to fit the baseline
- Additions or modifications are required to the iGOVERN™ base-line to meet a requirement.

A secondary, but very tangible, benefit of the application immersion is to initiate team building among the members. The team members are working together for most of the project, and after this task, the participants are able to clearly understand the purpose of the requirements gathering and validation process, what is expected of them as team members, and why their participation is so important for the successful project implementation.

Formal Requirements Validation Sessions

Our iGOVERN™ product delivers a rich set of functionality out of the box, but we understnd that there is a certain % of requirements which need changes in the solution. The requirements validation sessions, while addressing all requirements, will focus on gaining a complete understanding of the customization and configuration necessary to address the needs for these requirements.

HCL's process for requirements validation is structured to achieve the following:

- Understanding of the intent of the requirement and business processes the requirement is to support
- Documentation of the data and timing required for the requirement process, as well as interaction with other processes
- How the requirement can be tested and thus understood to have been met.

For the **non-functional requirements**, a variety of methods are employed including technical reviews of the baseline to demonstrate compliance with requirements such as those in regard to the business rules engine, version control, and system architecture. Many other non-functional requirements are in regard to various system interfaces. Each of these requirements are addressed by meetings with technical and business representatives of the source and recipient systems.

For the validation sessions, the project requirements are divided into logical components. so that the appropriate individuals are present for the review of the requirements pertaining to specific functional areas.

HCL creates a session calendar at the beginning of the requirements validation process and distributes it to all representatives. In advance of each session, the HCL Team prepares an

agenda and any other materials required to be reviewed prior to the session, and distributes to them to the validation team.

The existing iGOVERN™ product is used to demonstrate how it handles specific functionality and to gain concurrence amongst the representatives that the system complies with each requirement. Formal meeting session minutes are compiled to record the discussions, decisions, and outcomes of each session. The minutes document any action items or issues brought forward during the session.

Stakeholder Validation

The project has a large group of stakeholders whose interests may focus on only certain functions of the solution, and whose ability to actively participate in functional design will vary. The HCL team therefore uses a range of approaches for outreach and involvement of the stakeholders and partners throughout the requirements gathering and validation process. For instance, status updates relating to approved requirements will be posted for access by stakeholders as part of the project repository that will be initiated by HCL.

The key outcome expected out of the Gap Analysis phase is the extension documents, which act as supplements to the existing document repository, serve as the source of project requirements. Apart from, that the updated matrices serve as a good traceability tools throughout the duration of the project. A lot of attention is given to make sure that these sessions are conducted effectively, as they lay the foundation for the rest of the development process. The figure below provides a diagrammatic view of the Gap Analysis Process.

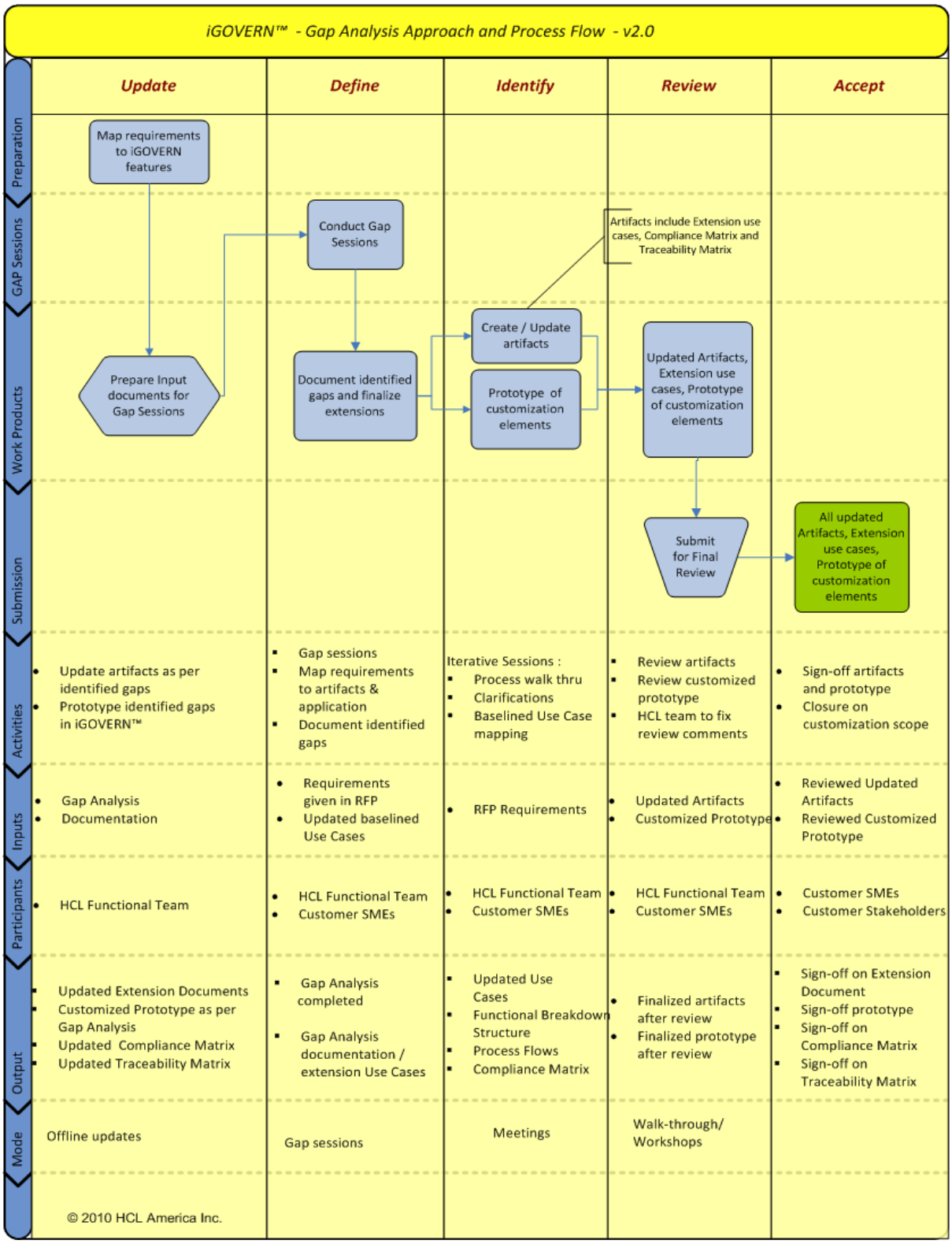

Figure: Summary of the Gap Analysis Process

ii. Describe the proposed reports development approach and methodology for this project. Refer to Section D, Exhibit 1, 8.3, Reports Development.

HCL's iGOVERN™ solution provides extensive and extensible reporting capabilities, meeting standard state and federal reporting requirements. It also offers statistical as well as analytical reports, along with providing a framework for building ad-hoc reporting capabilities.

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Reports Development Methodology

HCL appreciates that every state will have its own custom reporting requirements. We have proposed a methodology, as explained in Section 6.2, which allows the HCL team to work with Agency representatives to customize the base product's existing set of reports and/or add new reports (as needed), based on state's specific requirements.

In line with the core development approach & methodology discussed in Section 6.2, report development will also be done in an incremental manner. Thus a set of reports for a particular iteration will be analyzed, developed, verified and tested, as part of the development of the iteration. Likewise the ETVX model for reports development will also be in line with the ETVX for the full solution as presented in Section 6.2. However, in line with the requirements of the current question, HCL presents below a snap-shot of core ETVX that has been extrapolated for reports development specifically, and identifying the tasks, responsibilities and artifacts that will be taken-up during the course of reports development.

Gap Analysis

Entry Point (Inputs)	Tasks	Validation	eXit (Output)
• Agency Provides Existing Reports • Agency Provides SMEs to Clarify the Reports	HCL: Analyze Existing reports AWI: Provide Requirements of To-Be Reports AWI: Provide Clarification, as Needed HCL: Document the Agency Reports Specifications in the System Requirement Specification Document	AWI: Review Reports Specifications in System Requirement Specification Document AWI: Sign-off Reports Specifications in System Requirement Specification Document HCL: Document any Changes Proposed beyond Base-lined Requirements	• Signed-off Reports Specifications (part of System Requirement Specification Document)

Design Updates

Entry Point (Inputs)	Tasks	Validation	eXit (Output)
Signed-off Reports Specifications (part of System Requirement Specification Document)	HCL: Prototype Templates, Format and Content of Agency Reports AWI: Provide Clarification,	AWI: Review Report Templates and Prototypes AWI: Sign-off Report	Signed-off Prototype and Reports Templates

Entry Point (Inputs)	Tasks	Validation	eXit (Output)
	as Needed	Templates and Prototypes HCL: Document any Changes Proposed in Reports beyond Base-lined Requirements	

Customization

Entry Point (Inputs)	Tasks	Validation	eXit (Output)
Signed-off Prototype and Report Templates	HCL: Design, and Develop the Reports AWI: Create Acceptance Testing Scripts for Reports	HCL: Unit Testing	Unit Tested Reports Acceptance Testing Scripts
Unit Tested Reports Acceptance Testing Scripts from AWI	HCL: Integration Testing of the Reports with the Application	HCL: Successful Execution of Integration and Acceptance Testing Scripts	Fully Tested Reports

Validate & Verify

Entry Point (Inputs)	Tasks	Validation	eXit (Output)
Fully Tested Reports Acceptance Testing Scripts from AWI	AWI: Acceptance Testing of Reports HCL: UAT Support and Defect Fixes	Acceptance Testing of HCL-developed Reports by AWI	Reports Sign-off by AWI

Deployment – Go Live / Roll-out

Entry Point (Inputs)	Tasks	Validation	eXit (Output)
Reports Sign-off	Roll-out Reports to Target Users	• Review Implementation Checklist (including Reports)	• Pilot Sign-off (including Reports) • Implementation Sign-off from Customer (including Reports)

Tool Proposed

For the purposes of reports development, HCL uses one of the most widely used and accepted open source reporting tools, named BIRT. It provides reporting and business intelligence capabilities for rich client and web applications, and allows for creating rich interactive statistical and analytical reports, as well as dashboards and mashups, should any state agency require them. HCL proposes to use the same tool for AWI.

Typical Characteristics:

- Operational reports
- Developer creates reports
- Very easy end user access
- Highly formatted
- Multiple output formats
- No end user training needed
- Data access can be complex

iii. Describe the proposed forms and correspondence development approach and methodology for this project. Refer to Section D, Exhibit 1, 8.4, Forms and Correspondence Development

HCL's iGOVERN™ Unemployment Compensation solution supports creation and management of multi-channel business communications such as customer correspondences, as well as critical supporting documentation such as Forms & Letters, out of the box.

Forms & Correspondence Development Methodology

HCL appreciates that for forms and correspondences too, every state would have its own custom requirements such as format, content and workflow integration points. Therefore, much like reports' development, forms & correspondence development will also be done in line with the core development approach & methodology discussed in Section 6.2. Thus for each incremental iteration, the supporting forms and correspondences will be analyzed, developed, verified and tested. Likewise the ETVX model for forms & correspondences development will also be in line with the ETVX for the full solution as presented in Section 6.2.

However again as done in reports' development response, in order to better address the specific context of forms & correspondence development, HCL presents below a snap-shot of core ETVX extrapolated for forms & correspondence development.

Gap Analysis

Entry Point (Inputs)	Tasks	Validation	eXit (Output)
• Agency Provides Existing Forms and Correspondences • Agency Provides Details on Invocation and Transmittal of submitted Forms and Correspondences • Agency provides SMEs to Clarify the Requirements	HCL: Analyze Existing Forms and Correspondences AWI: Provide Requirements of To-Be Forms & Correspondences AWI: Provide details such as Frequency, Triggers, Workflow Integration Point, User-based Customization, etc. for Each Form and Correspondence AWI: Provide Clarification, as needed HCL: Capture Agency's Requirements in the System Requirements Specification Document	AWI: Review Forms & Correspondences' Specifications in the System Requirements Specification Document AWI: Sign-off Forms & Correspondences' Specifications in System Requirements Specification Document HCL: Document any Changes Proposed beyond Base-lined Requirements	Signed-off Forms & Correspondences' Specifications (part of System Requirement Specification Document)

Design Updates

Entry Point (Inputs)	Tasks	Validation	eXit (Output)
Signed-off Forms & Correspondences' Specifications (part of the System Requirement Specification Document)	HCL: Prototype Templates, Format and Content of Agency forms and Correspondences AWI: Provide Clarification, as needed	AWI: Review Forms and Correspondences' Templates and Prototypes AWI: Sign-off Forms and Correspondences' Templates and Prototypes HCL: Document any Changes Proposed beyond Base-lined Requirements	Signed-off Prototypes and Templates for Forms and Correspondences

Customization

Entry Point (Inputs)	Tasks	Validation	eXit (Output)
Signed-off Prototypes and Templates for Forms and Correspondences	HCL: Design, and Develop the Forms & Correspondences AWI: Create Acceptance Testing Scripts	HCL: Unit Testing	Unit Tested Forms and Correspondences Acceptance Testing Scripts
Unit Tested Forms and Correspondences Acceptance Testing Scripts from AWI	HCL: Integration testing of the Forms and Correspondences with the Application	HCL: Successful Execution of Integration and Acceptance Testing Scripts	Fully Tested Forms and Correspondences

Validate & Verify

Entry Point (Inputs)	Tasks	Validation	eXit (Output)
Fully Tested Forms and Correspondences Acceptance Testing scripts from AWI	AWI: Acceptance Testing of Forms and Correspondences HCL: UAT Support and Defect Fixes	Acceptance Testing of HCL- developed Forms and Correspondences by AWI	Forms and Correspondences sign-off by AWI

Deployment – Go Live / Roll-out

Entry Point (Inputs)	Tasks	Validation	eXit (Output)
Forms and Correspondences Sign-off by AWI	Roll-out Forms & Correspondences to Target Users	Review Implementation Checklist (including Forms & Correspondences)	• Pilot Sign-off (including Forms & Correspondences) • Implementation Sign-off from Customer (including Forms & Correspondences)

Tool Proposed

In designing the communication framework of the iGOVERN™ solution, HCL included the usage of Thunderhead, which is a leading solution for the creation and management of multi-channel business communications, that also supports direct integration with leading Enterprise Content Management solutions such as FileNet.

The integration between Thunderhead and FileNet P8 will enable the AWI team to effectively manage the critical processes by which they communicate with their customers, partners and employees. When deployed with IBM FileNet P8 Content Manager, the Thunderhead platform can reuse content that is stored in the FileNet P8 repository in the creation of Thunderhead templates and in the production of business communications. Additionally, documents and

communications that are produced by the Thunderhead platform can be automatically archived to FileNet P8 Content Manager.

Thunderhead also provides full integration with FileNet P8 Business Process Manager (BPM), enabling users - at any point in a business process - to invoke, in real time, Thunderhead's automated capabilities for producing multi-channel business communications.

The diagram below show-cases the advantages for AWI, due to which HCL proposes to use Thunderhead as the communications' tools in iGOVERN™ solution: -

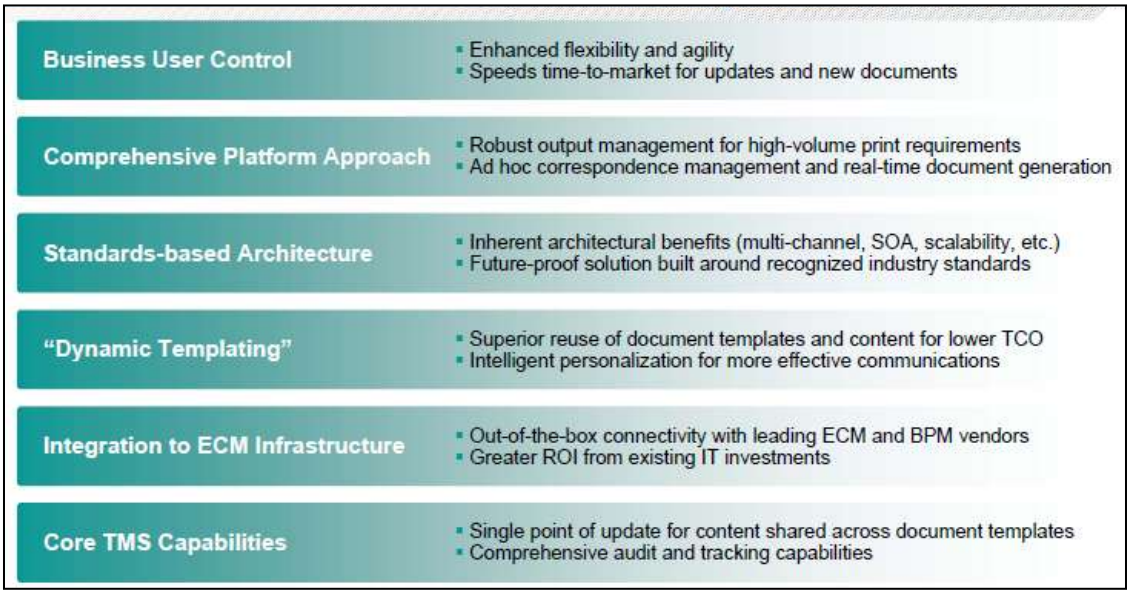

Figure: Thunderhead Features and Benefits

iv. Describe the proposed functional design approach and methodology for this project. Refer to Section D, Exhibit 1, 8.5, Functional Design.

Functional Design is the successor to requirements validation and builds on the outputs from that phase, as well as from the documentation and models produced from their "AS-IS" and "TO-BE" studies. In the "Incremental Business Process Integration" model, the functional design is covered by the "Design Updates" phase. The "Design Update" phase talks of both the "Functional Design" and the "Technical Design" phase. Design results in an understanding and consensus of how the system will be built or customized to satisfy the requirements. Design outputs provide the detail of the business rules and workflows for all system modules and other functionality, such as forms, reports, and notifications for the project.

The approach to functional design continues the processes initiated during requirements validation and includes:

- **Functional Design sessions** - Formal design sessions are held and the requirements are divided into the logical components. The SME representatives who participated in the requirements validation process continue to be representatives at the design sessions. This maximizes the benefit of their immersion training on the baseline system and previous involvement and knowledge of the system requirements as validated. The Gap Analysis Approach shown above is used extensively in the Functional Design Sessions.
- **Stakeholder Validation** – Stakeholder validation is the means by which stakeholders are kept abreast of the design progress and results.

- **Functional Design Sessions**

  The process for functional design is structured to achieve the following:

  - Identification of modifications to business rules and workflows of the existing baseline to reflect project needs
  - Design detail of new and modified functionality to be added to the baseline for project, including screens, reports, and forms
  - Documentation of who can create, update, and/or view data, who can perform each process, and if the process requires approval, by whom
  - Updating of screen prototypes/mock ups for review and approval
  - Creation of a complete system prototype and logical data model

Unlike the requirements sessions, design sessions are structured by the modules and systems that are to be designed. Reports and forms are reviewed and designed in the functional groups to which they belong.

- **Prototype Immersion -** During the last phases of the design schedule, we will initiate what we believe will be the most effective, and most exciting, means of outreach for this portion of the project. The project Team will share the project prototype with stakeholders during an intense immersion which will allow the stakeholders to actually view the system as it is expected to be in its built state. Prototype immersion is a necessary step for getting stakeholder buy-in on the TO-BE state of the system, in terms of how the system requirements will be met. It enables us to get a validation and approval of the end users.

Design Session Inputs

Requirement Specifications and Extended Use Cases will be utilized as inputs to the design sessions. It is expected that only those requirements entailing significant modification to the baseline system, or new functionality design, will need to be addressed in the design sessions. Requirements that are identified in the validation sessions as met by the existing baseline system do not need to be addressed in the design sessions. Additionally, most requirements needing minor modifications and changes can be identified during the requirements validation process.

The existing baseline iGOVERN™ system is used to demonstrate the existing functionality and to serve as a starting point for discussion of necessary configurations, customizations, and new coding. New processes and business rules are elicited from the SME group.

Design Session Outputs

Data models and prototype mock-ups are developed following the sessions for presentation to the design team representatives at subsequent sessions. These aid the team in understanding the nature, look and feel of the functionality once it is actually coded, and gives them the opportunity to approve the modifications prior to actual coding.

Session minutes are compiled to document the discussions, decisions, and outcomes of each session. This allows decisions made during these sessions to be accurately captured for inclusion in the final design. Meeting minutes are distributed to all session attendees for validation.

v. Describe the proposed technical design approach and methodology for this project. Refer to Section D, Exhibit 1, 8.6, Technical Design.

Our approach to extend the technical design of the existing iGOVERN™ product, to meet the requirements of AWI is based on the following foundation:

- The solution is based on a standard product that has been developed using industry design and programming standards.
- Our design effort will focus on the features of the base solution that need customization or enhancements to meet the project requirements.
- A need to provide a solution that is easy to extend and easy to maintain.

In the flow given below, we have shown the iterations that take place in order to update the technical design of the base iGOVERN™ product to meet the functional and technical requirements of AWI.

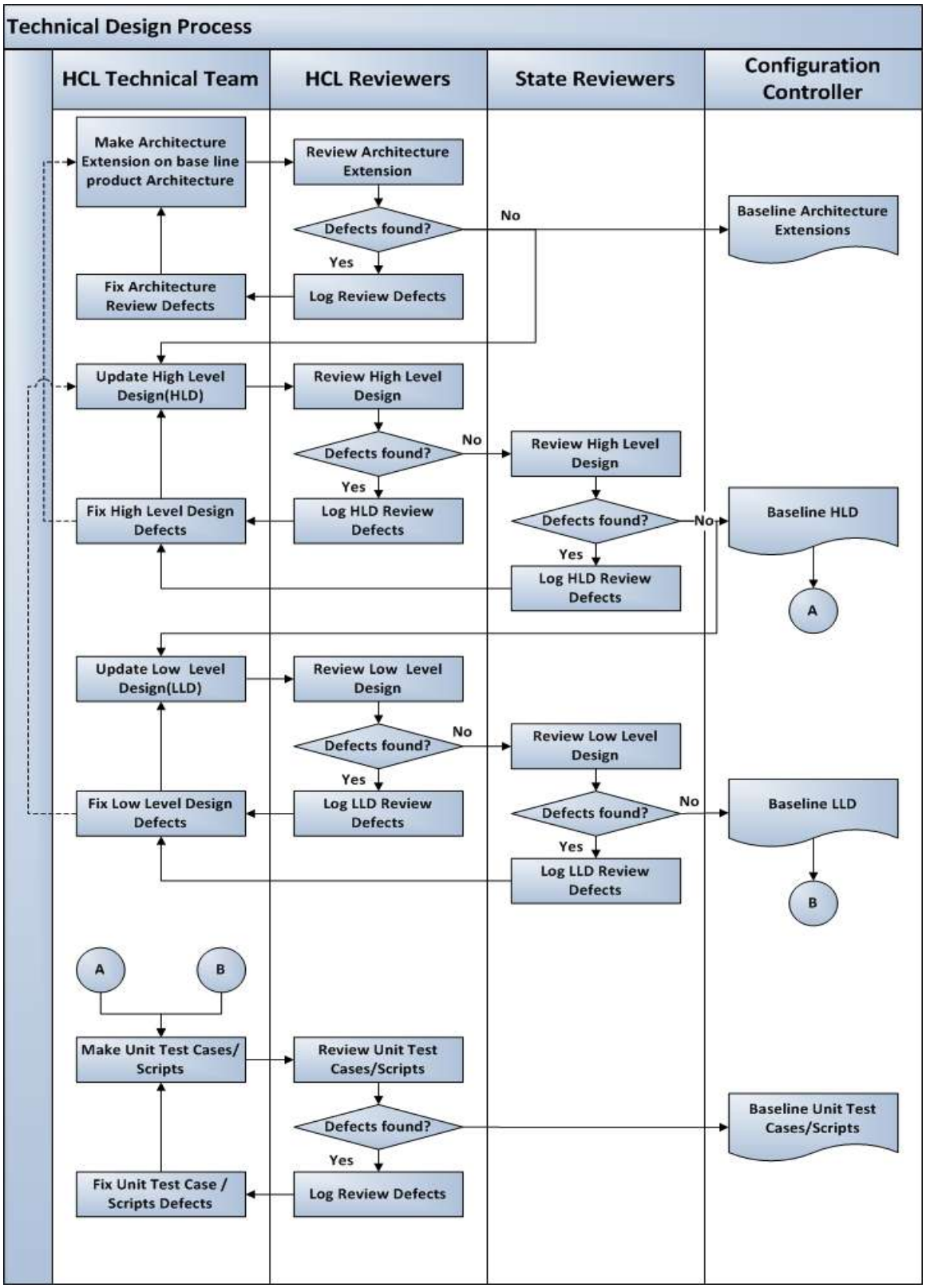

Figure: Technical Design Process

The process involves certain technical tasks and validations. These tasks involve the following:

- Technical Design Tasks
- Technical Design Validations

These tasks and validations are detailed below.

Technical Design Tasks

The Project Team should start developing the technical design based on the functional and technical requirements specifications for project. These are the key activities of the technical design phase:

- **Guidelines** – Technical design standards and guidelines will be finalized, documented, and shared with all team members. The iGOVERN™ product has been developed using standard best practices, standards and guidelines as practiced in the industry.
- **Specifications Review** – The design team will review the functional and technical requirement specifications documents.
- **Technical Architecture** – The technical architecture will be extended by updating the base product architecture as required, to meet any requirements that cannot be met with the current architecture. The architecture will be reviewed for accuracy before moving to high level design. Following are some of the tasks in this phase-
    - Establish a technical direction, based on the iGOVERN™ Product architecture to achieve functional and non functional requirements
    - Provide an essential foundation for the agility, responsiveness and effectiveness of the system
    - Help developers understand the overall system and interdependencies of high level components
    - Facilitate re-use of existing frameworks, components, class libraries and third party components wherever possible
- **Identification of Unit Processes/Modules** – The overall scope of work will be divided into smaller units or processes; the objective is to have more manageable units. Following are some of the points that will be considered while identifying unit processes-
    - The units will be identified based on business requirements
    - The units will be functionally as independent as possible
    - Common functions should be identified to avoid reinventing the wheel
- **High Level Design** – The design team will create a high level design which will include the following
    - Entities, Attributes and their Relationships will be identified
    - Functional decomposition diagrams will be created
    - Data flow diagrams will be created and will include all components and interfaces
    - Backup and recovery procedures will be established
    - Design constraints, assumptions and dependencies will be identified
    - The Data model will be created
- **Low Level Design** – The following tasks will be carried out as part of low level design for each module:
    - Functional description of a module will be documented
    - Interfaces description including, input and output parameters, expected data types, the format and value of each parameter will be documented
    - The Global data structure to be shared by the modules will be identified
    - The Local data structure used within a module will be identified
    - Call conventions and processing logic will be developed
    - Library functions/Commonly used functions will be identified

- Class diagrams and sequence diagrams will be created
- Pseudo code will be documented and proof of concepts will be developed to validate design decisions
- Database design of the base product will be extended to support customization and enhancements and the ER diagrams will be modified.

- **Self-Review** – Design team members will carry out self-review and in-process peer reviews for each module. The defects found during the reviews will logged in defect tracking system. The technical leads will ensure that all defects are closed before submitting the technical design document for approval.
- **Test Preparation** – The Technical System Design Document will be the basis for creation of unit test cases. The Testing team will start creating system test cases in this phase.
- **Requirements Traceability Matrix** – The matrix will be continuously updated in this phase to ensure all requirements have been addressed in technical design and test cases have been created to give sufficient test coverage to each requirement

The technical design is a living document and will be constantly updated based on coding phase and future enhancements. Any defect found in design will be documented in the defect tracking system and will be tracked to closure. The HCL Team will give the agency access to the defect tracking system.

Technical Design Validations

Technical review is a critical part of our technical design approach. Timely reviews ensure early removal of design defects and are important to avoid defects and rework in the testing phase. Reviews can be divided into internal review by the project team and external review by other technical specialists.

- **Internal Review** – Internal reviews are performed by the project team throughout the duration of design; the purpose of internal review is to evaluate each module in order to ensure completeness, compliance and to find defects. There are three types of internal reviews carried out during technical design.
- **Customer Reviews** - the Customer's SME Group, Technical Group or an IV&V vendor can review the technical design at various times in the design phase. Critical modules may be sent for review in order to get early feedback. The formal review will be a Technical Review Meeting, where the deliverable of the Technical Design is reviewed and approved.
- **Defect Tracking and Resolution** – Design defects will be logged in the defect tracking system, in this case PMSmart. The defects are entered in the system and tracked to closure. A member from the Quality Assurance team will validate that defects are closed before final submission of the technical design. The State will have access to PMSmart allowing them to log issues found during Customer review. The project team will close the defects before the Agency signs off on technical design.

The guidelines for the technical design of the iGOVERN™ product are given below.

Technical Design Guidelines

Technical design guidelines for the proposed software solution are as given in the table below.

Guideline	Benefits
Product-based	The base iGOVERN™ product has been designed based on best practices and knowledge of the domain acknowledging that every state has its own unique requirements and needs. The baseline

Guideline	Benefits
	product has therefore been designed to be configurable, either by setting values in the database during the system set-up phase like system codes or system configurations from XML configuration files. Our design approach will be to configure, customize, and enhance this baseline system to meet the project requirements using J2EE technologies. This product-based solution approach will be more cost effective and will cut down on implementation time.
Software Language	The iGOVERN™ product has been developed using the Industry standard Java programming language and this will continue to be the language used for customization and enhancements needed for the solution. These languages are the right choice for platform independence and offer the stability, scalability and performance for an enterprise application.
Service Oriented Architecture (SOA)	The iGOVERN™ product exposes Business Objects via well-defined service interfaces. In addition, iGOVERN™ uses Web Services to communicate and exchange data with other Enterprise Applications. The Architecture allows communication with the 3rd party COTS products like FileNet P8 and iLOG JRules. All these make the iGOVERN™ suite of products Service Oriented Architecture (SOA) ready. This design principle increases maintainability and localizes the impact of upgrading these products.
Open Standards	Design is based on the open standards for maximum interoperability. It will expose services for external systems via well-defined XML interfaces.
Externalize Eligibility Rules in the Business Rule Engine	The system externalizes the eligibility rules in the business rules engine by using its efficient inference engine, which will link highly readable, declarative, semantically rich rules to the Java based business objects. Business rules are not embedded in code and will not require programming for making changes to rules. This approach enables different variations of rules and will make modification of rules easier in event of legislative changes.
Centralized Database	The solution will have a centralized integrated database that will store statewide information. The centralized database will be designed to eliminate data redundancy and will also eliminate problems of synchronization. However, it will still provide flexibility to have coalition specific system codes and configuration in order to handle variations in business processes.
Scale Up and Out to meet Performance	The solution is designed on a layered architecture so that it can meet any level of scalability and user load based on the requirements of the hosted environment. The system has externalized most of the cross-cutting functions (e.g., authentication, SSL encryption, connection pooling, load balancing, clustering and scheduling.) wherever possible to be able to leverage industry tested and proven infrastructure services.
Exception Handling	The base product has an exception handling framework. This framework provides consistency in exception handling flow among various modules and also between various layers of the application

Guideline	Benefits
	model. The framework has a requirement driven, global exception base class at the module level. Exception conditions will be handled by wrapping the failures into the system specific exception classes. All the technical exceptions are wrapped into the module specific exceptions in which they occur. Business validation failures that cause an operation to abort will be wrapped into the exceptions. These exceptions will then be bubbled up to the Presentation Layer where they will be assigned localized messages based on their error codes. The exception handling framework invokes notification service to send out notifications to system administrators on case of critical failure.
Logging and Audit	iGOVERN™ logging framework supports the configuration of logging levels such as *debug*, *info* and *error*. It supports logging of business transactions and technical information, based upon the configurable levels. Logging framework also provides flexibility in configuring different log handlers such as file and database handlers.
Compliance with Standards	The Product has been created using the best practices and standards practiced in the industry. The project Team will follow coding standards and guidelines to deliver a high quality output. Design guidelines will ensure relevant standards are followed for all enhancements from the technical design phase. This approach will prevent rework and delays at later stages in the project.
Localization and Globalization	The iGOVERN™ base product supports globalization. It can handle multiple languages and cultural conventions without need of a re-design. Localization involves taking a product and making it linguistically and culturally appropriate to the target locale. The solution will not have hard coded messages or captions. Messages and Captions will be picked from resource bundles.
Usability	The iGOVERN™ product supports the functional requirements of the agency and other stakeholders effectively through its user interface. The base product is compliant with Section 508 of the disability act. All enhancements will follow design guidelines for Section 508 compliance.

vi. Describe the business process re-engineering approach and methodology for this project. Refer to Section D, Exhibit 1, 8.7, Business Process Updates.

HCL understands that AWI UC program aims to enhance the basic interactions between the Agency, Partner Agencies and its customers. While AWI has already completed Business Processing Re-engineering Analysis and has developed reengineered business process definitions; HCL expects some practices to be rethought and processes to be redesigned during system implementation. Exposure to the capabilities of the iGOVERN™ solution may enable the envisioned reengineered practices be made more streamlined, effective and efficient. HCL intends to assist the Agency, through the implementation and use of its iGOVERN™ solution, in reviewing, revising, and updating its reengineered process definitions, and UC policies, and to continue with in-progress business transformation journey.

Figure: BPR Approach

HCL SMEs will conduct GAP Analysis sessions to establish a solid baseline of reengineered process definitions and formulate an understanding of envisioned practices and the interrelationships of policies, regulations, processes, jobs, organization, facilities, and people. This will be followed by examination of the reengineered process definitions against the operational model the iGOVERN™ represents, to:

- Ensure business drivers, core functions and critical operational steps are mapped to product's operational model, to develop a foundation for identifying required product extensions i.e. process extensions and technical extensions, to support AWI's business objectives
- Identify how business operations and the organizational structure can be enhanced to take advantage of the capabilities of the proposed functional and technology solution in the "to be" state. This will include identification of potential state policy changes, if needed.
- Augment the product's process and use case documentation with identified process and technical extensions to illustrate "to be" process model to the Agency

The Gap Analysis effort will be substantiated through a Functional Design effort to arrive at "to-be" operational model specifications. It will specify process modification & potential alternatives along with change recommendations for the product. This will be facilitated via Stakeholder's workshops involving participation by appropriate AWI management and staff, and HCL Functional Team. These workshops will target problems and objectives at hand, and will seek validation and approval of solutions. These will serve as a platform to review and approve identified product extensions, explain and delineate potential process improvement opportunities, areas of potential challenges, and possible implications to the organizational structure and policy. While primary focus of these workshops will remain on opportunities leveraging from product adoption, immediate improvement opportunities areas independent of any technology enablement may well be discovered. The results of the functional design provide a launching point to support both UC processes and organizational change. It will outline the risks, assumptions, and dependencies of process modification and improvement. It will further set the context of how 'extended' product adoption will change processes and operation, and affect the user community, support community, and the managing stakeholders for the better. The output of the exercise will be

recommendations for updates to the Agency's envisioned business process definitions along with baseline product extension requirements. These recommendations upon joint review and acceptance will formulate "to-be" operational model for AWI.

The agreed business process update recommendations and product extensions will serve as basis of development of conceptual system design and construction of product extensions for enablement of the "to-be" operational model. During the project lifecycle, periodic validation of process redesign and product extension requirements will be achieved through:

i. Effective use of prototypes during conceptualizing the system
ii. Incremental demonstration of new/modified functionality upon achieving steady state
iii. Robust validation of planned product extensions and integrated technology solution through system and integration testing
iv. Comprehensive verification of enabled operational model against user stories and real world business scenarios in user acceptance testing

The feedback from these validation exercises may further necessitate enhancements to "to be" operational model upon joint review and acceptance involving appropriate AWI stakeholders.

vii. Describe the proposed interface design and implementation approach and methodology for this project. Refer to Section D, Exhibit 1, 8.8, Interface Definition.

In the "Incremental Business Process Integration" model, the Interface Definition is again covered by the "Design Updates" phase. The "Design Update" phase talks of both the "Functional Design" and the "Technical Design" phase. For the Interface Definition, we will be looking at the "Technical Design" aspect of the "Design Updates" phase. The nature of the Solution demands integration between multiple systems in terms of information (data) and as well as the processes. Process integration is the implementation of business processes in a way that fully utilizes IT systems to add efficiency and flexibility within an enterprise. In focus, Process Integration concentrates on what data is needed and how that data is used. The implementation of the business processes mandates the systems to be integrated in a unified common platform. The goal of the Integration Architecture is to facilitate the same.

The Project Team recognizes that one of the key goals for the agency is to build an enterprise infrastructure to enable the exchange of data with its partners, and also other enterprise systems in real-time, without maintaining local copies of data managed by its partners.

The interface definition process is closely aligned with the functional and non-functional requirements verification tasks. Since we are integrating with an already existing application, there are certain guidelines already in place for the integration interface definitions. The interfaces are closely integrated with the application. The interface team will work closely with the requirements verification team.

The following sections break the interface Definition task into phases and elaborate on the roles of the participants in each phase. The phases are:

- **Interface Definition Requirements Analysis** - The project team will meet with the primary Project stakeholders, and teams from partner organizations, to develop a shared understanding of the purpose of each of the interfaces detailed in the requirements mapped out in the ITN.
- **Interface Definition Requirements Drill down** - The project team will meet with both primary and external stakeholders to flesh out the details for each interface.
- **Interface Definition Design –** The Project team will then design the interfaces for the systems that need to be communicate with the iGOVERN™ product.

- **Interface Definition Validation –** the Project team will work closely with the stakeholders of the different systems that needs to be interfaced with for the project and get the design validated.
- **Interface Implementation** – HCL follows the adaptor based approach for integrating with different systems and the iGOVERN™ application.

Interface Definition Requirements Analysis

Interface definition is broken into two phases. In the first phase, the project team will meet with the primary stakeholders to develop an understanding of the purpose, content, and information flow for each of the required interfaces. The project team will document business scenarios and information flows for the interfaces and review these documents with the primary system stakeholders to verify a shared understanding of the interfaces. The project team will also share the Integration Architecture with the Agency and system stakeholders so that there is a common understanding and agreement on the requirements from the external system perspective. It is critical that this documentation is expressed in common business terms that will be readily understood by all stakeholders. Once agreement is achieved on the validity of the business scenarios and information flows, these will be published to the external interface stakeholders for review in preparation for the drill down sessions.

Interface Definition Requirements Drill down

The second phase of interface definition engages the external interface stakeholders in the process of mapping the information flows to the business objects within their domains and systems. This is conducted in the context of the business scenarios documented in the requirements analysis phase. The Project Team will prepare interface definition documents for each external stakeholder detailing the purpose, format, content, frequency, and processing for each interface. The interface definition document for each interface partner will include mutually agreed upon tasks for the design, construction, testing and implementation stages of the project.

The interface definition document establishes a roadmap to the implementation of the interfaces with roles, responsibilities, and time frames mapped out for the interface partner teams as well as the project interface team. Each interface definition document represents a partnership agreement between the project team and the external system stakeholders. These documents are the roadmap for all interface work downstream in the project. At any stage in the project, if the Project Team or the interface partners deviate from the roadmap, the Project Team will bring this to the project management team as an issue to be managed through the issue management process as documented in the project's Issue Management Plan. The project and Agency project management team will work jointly to resolve the issue causing the variance from the roadmap defined in the interface partnership agreement, and the risks these issues pose to achieving the goals of the project.

During this phase the Project Team will also collect and document technical information on the information technology associated with interface partner system that will be used in the technical design, construction, testing, and implementation phases.

Interface Definition Design

Based on the information gathered from the previous phases, the HCL team will design the interface integration mechanism for the different systems that need to be integrated with the iGOVERN™ application. The steps followed in the Interface Definition Design are the same as those for the Techncial Design discussed earlier. The output from the Interface Definition Design phase is the Updated Interface Design Document. The Interface Definition Design document details the different Systems that need to be integrated with the iGOVERN™ product. It also

documents the data contracts that are required for the integration between the two systems, the binding protocols and the authentication requirements and mechanisms.

Interface Definition Validation

Since this is one part of the system where in other existing system will be interacting with the iGOVERN™ product, it is very necessary for the iGOVERN™ product integration design to comply with the requirements of the existing systems and vice-versa for a fail proof integration. Legacy System stakeholder validation and sign-off is an important step in this direction. HCL will work closely with the stakeholders to take care of their any concerns with regard to the integration of the iGOVERN™ product with their system. This step will aim at addressing the concerns of the system stakeholders and work with them to get a mutually agreed upon and signed-off Interface Definition Design Document.

Interface Implementation

HCL follows the adaptor based approach for integrating with different systems and the iGOVERN™ application. In this approach we develop adaptors for the interfacing. The adaptors are web services that are exposed to external system that need to integrate with the iGOVERN™ product. The Adaptors are what the iGOVERN™ product talks to when it needs to consume data from external systems. The pictorial below shows how the adaptor based integration approach works.

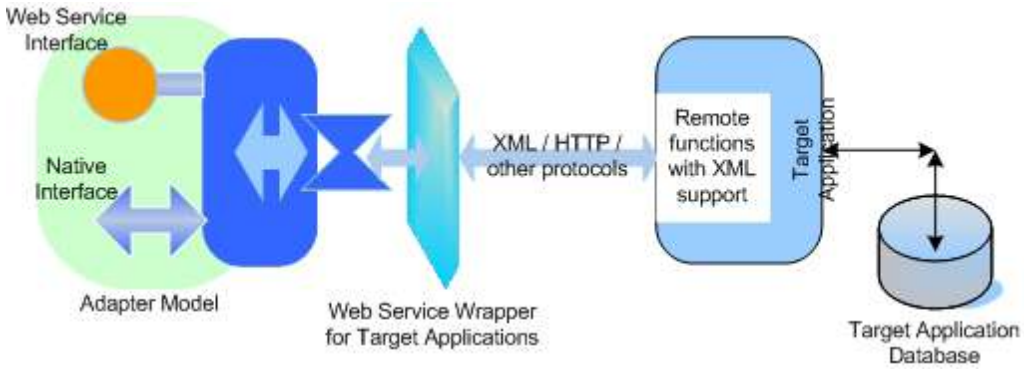

Figure: Adaptor-based Interfacing Approach

The implementation of the Interfaces involves developing web services that can be exposed to both consume data into and expose data from the iGOVERN™ product. The adaptor model has the following advantages:

- Existing Web services, if exposed by the External Legacy Applications can be reused without alteration
- In case of any changes to the Source or Target Application, only the Adapter layer needs to be modified to cater to the new requirements.
- The Services developed can also be reused by other applications and, over time, a service repository gets developed in the enterprise which is the first step towards a SOA-ready enterprise.

The Development and testing of the Interfaces follows the same process as is explained under Coding and Unit Testing.

The integration strategy, message exchange patterns and their usage in the Interface Definition implementation is explained below.

Integration Strategy

iGOVERN™ Solution provides for enterprise integration layer as the platform to communicate, transfer, transform and transport the data to/from the spaghetti of existing back office systems. The core concept is to isolate the implementation part of the integration that is specific to the target application. iGOVERN™ Solution directly uses SOAP Adapters to integrate with the target system providing remote integration functionalities as the Industry standard Web Services. iGOVERN™ Solution uses Web Services wrappers using SOAP Adapters to access target applications that provide XML APIs for integration purposes. The adapter will be hosted in the Integration Layer runtime environment.

HCL will develop the required adaptors to integrate the back end systems with the application to meet the Integration requirements. The Integration Layer is designed to communicate with the back office system (Send Adapters) and receive the request from the external system (Receive Adapters). The iGOVERN™ Solution is expected to communicate with this Integration Layer using the message exchange patterns provided below.

Message Exchange Patterns between Adapter and Target Application

Based upon the scenarios and Integrations requirements, we will use one or more of the below mentioned types for integration.

- **One Way (Asynchronous)** - in this message exchange pattern, the messages flow is only in the direction of the external system, and no response is expected back from the external system.
- **Request Response** - this is a two-way message exchange pattern involving request-response between the adapter and the target application.
- **Solicit Response Pattern** - the adapter sends the solicit message to seek information from the external system, and the response is communicated back to the adapter.
- **Request Multi Response** - the invoker or the adapter requests a call to the external system or vice versa. Single request triggers multiple response calls back to the adapter.

Usage of Patterns in the Integration Layer

The integration layer is built using the industry standard integration patterns. The following are the key Enterprise Integration patterns used in the iGOVERN™ Solution integration layer.

Name	Description	Implementation in iGOVERN™
Aggregator	Combines the results of individual application results and processes them as a whole.	Data Model changes in the external system will not trigger any changes in the iGOVERN™ Solution model, as the aggregator RULE deployed over the Integration Layer should take care of those.
Content Filter	Removes the unwanted data items from the large message, and retrieves only the items that is	Using this pattern, we can filter what we require in the iGOVERN™ application even if

Name	Description	Implementation in iGOVERN™
	required by the application to meet the integration requirements..	the external systems are returning large amounts of unwanted data.
Message Router and Content Based Router	Route the processing request to different applications message based on the defined rules and content based rules.	Using this type of pattern we can • Handle content based, rule based scenarios. • Routing intelligence can be added by constructing the good rules sets.
Message Translator	Each application will have their own form of handling the data. During integration, one of the biggest challenges is in transforming the received message that the target application could understand.	We use this pattern in the integration layer to transform any data when we receiving, processing and/or sending. Since, the transformation is based on the rule, any changes in the source or target applications will not affect either, and it can be handled by changing the rule set in the integration layer.

viii. Describe the proposed code and unit test approach and methodology for this project. Refer to Section D, Exhibit 1, 8.9, Code and Unit Test

Once the functional, technical and integration definitions for the project have been finalized, the next phase that will follow is the customization, configuration and custom development for the project. This section summarizes the coding and customization approach and how standards and controls will be used during the code development and unit test phase. In the “Incremental Business Process Integration” model, the Code and Unit Test past of the project is covered under “Customization, Coding and Unit Testing” phase. Coding and customization will use the Technical System Design Document and Detailed Interface Definition document as inputs. This phase will include customization of the base product, coding of new modules, and unit testing. Code development and unit testing will be based on standards, processes, guidelines and checklists that are SEI CMMi Level 5 compliant and ISO 9001:2000 certified. The flow below depicts the overall process flow for the Coding and Unit Testing phase.

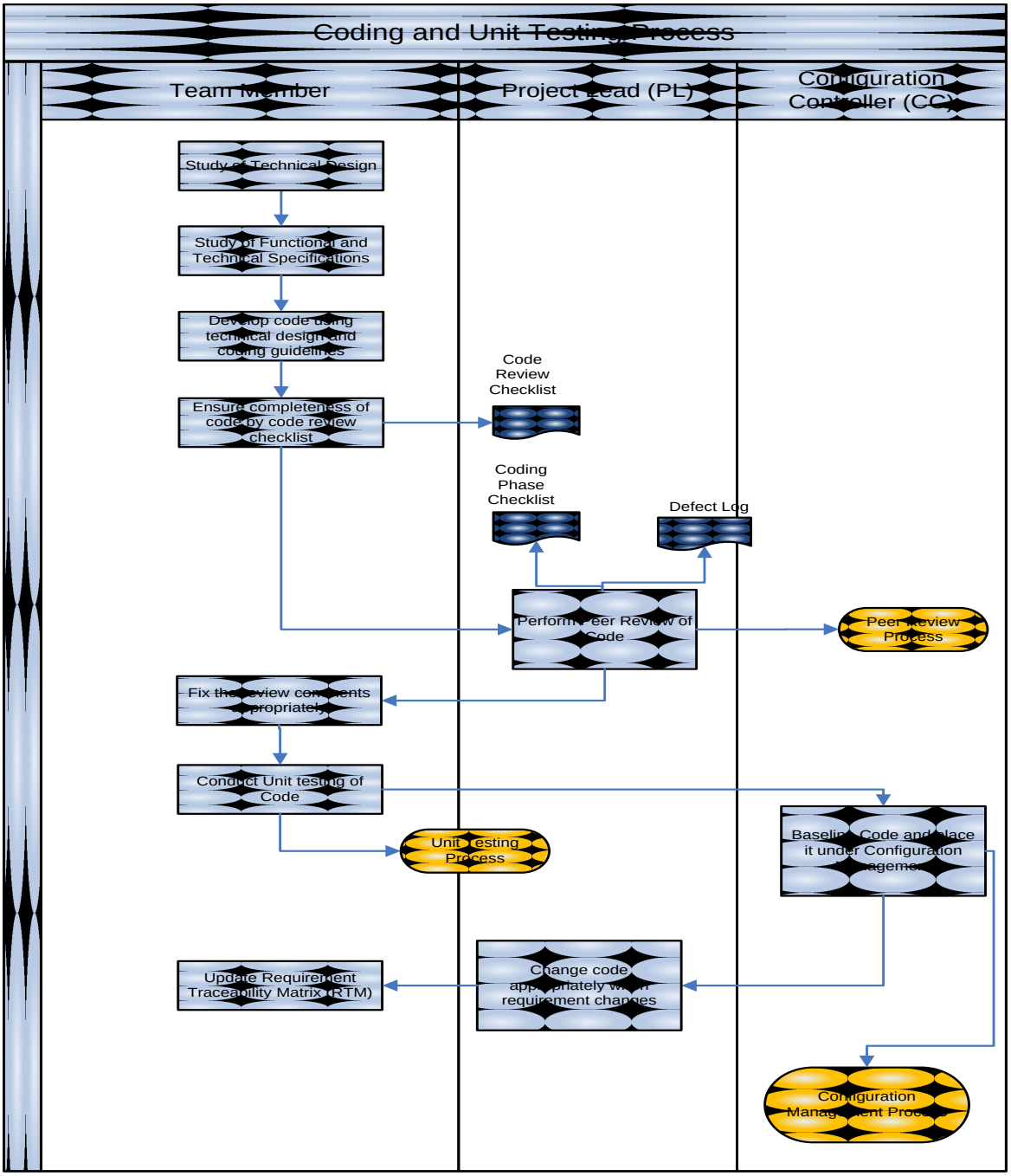

Figure: Code and Unit Test Flow

The steps involved in this process are:

- Coding
  - Verification and Validation
- Code Review
- Unit Testing

- Code Profiling
- Defect Tracking and Resolution
- Build and Release

Given below is a detailed explanation of each of the above mentioned activities.

Coding

The Coding and Unit Testing phase starts with the completion of the technical design of an independent module. The objective is to customize the base iGOVERN™ product to meet the functional requirements of the project, in line with the technical architecture and design extensions suggested and documented in the Technical Design phase. In this process the code will pass through various quality checks such as peer review, unit testing, and system and integration test before the commencement of the user acceptance testing phase. In this section, we will look at the inputs, tasks, validation control and outputs of the Coding and Unit Testing phase.

Tasks

The various tasks involved in this process are given in the table below

Task		Responsibility	Checklist/Reference
1	Study the Technical Design Document and conduct brainstorming and internal discussions	Team members	Technical Document
2	Study the Functional and Technical Requirements Specification Documents to identify issues affecting coding and indentified and resolved	Team members	Technical Specifications
3	Develop the code based on the technical design document using programming standards and guidelines	Team members	Coding Standards and Checklist
4	Check completeness of code by referring to code review checklist and following the code review process. Team members also verify that the code is well documented and have all the comments necessary to generate a Java Doc.	Team members	Code Review Checklist
5	Organize peer reviews of the program code and documented defects in review log	Project Lead	Coding Phase Checklist
6	Defects are fixed appropriately and verified	Team members	Defect Logs
7	Conduct Unit Testing as per the unit test plan and unit test cases for each program. Verify the code meets the functional requirements and performance criteria set for the project. Code updates may be required	Team members	Unit Testing Process
8	Baseline the code and place it under configuration management	Configuration Controller	Configuration Management Process

Task		Responsibility	Checklist/Reference
9	Change the code appropriately when the software requirement or the design changes	Team members / Project Lead	Configuration Management Process
10	Update the Requirements Traceability Matrix	Development Team members	Requirement Traceability Matrix
11	Create Unit Test Reports and Peer Review documentation as part of the build release notes and pass on to QA team for review	Team members / Project Lead	Generated reports and documentation

The configuration controller is nominated from the project team and is responsible for source code control and release/build documentation.

Verification and Validation

The following verification and validation process is carried out as part of code development

- The code is tested as part of the Unit Testing Process and defects are logged
- Code is reviewed as part of code review process
- The development manager certifies that a build is ready and can be picked up by the Testing Team for system testing
- A member of the Quality Assurance Team independently verifies that the unit testing defects are closed
- Test Reports and code review documentation are shared with the customer and/or representative for quality assurance reviews.
    - HCL can also provide access to the code to the Agency team for Code Review.

Code Review Process

Code is reviewed based on the Code Review Checklist throughout the code development phase. The advantage of code review is that it helps in detecting potential defects early in the development cycle. This helps reduce errors and rework. Code review is involves manual peer review as well as a tools based review. The iGOVERN™ Team utilizes a set of standard code review checklists based on best practices and experience.

In order to save time on manual code review, the iGOVERN™ development team uses an automated code review tool called ePMD for reviewing Java code. It is an internal tool created by HCL by modifying the open source tool PMD. Before sending the code for peer review, team members pass the code through this tool to discover defects and non compliance to coding standards. ePMD allows creation of around 125 rules based on Java coding standards that can be used for code review. It can be executed as standalone or it can be integrated with the popular Java IDEs.

Using ePMD for code review has the following advantages

- An Integrated IDE for Coding and Code Review
- Catch the defects at an early stage
- Increase in productivity because of reduction in code review effort
- Reduction in rework effort because of early detection of defects

Unit Testing

At this stage of testing, emphasis will be placed on logic flow, calculations, data edits and validation, error processing, report formatting, screen appearance, and Graphical User Interface (GUI) flow. Unit testing is performed by the developers based on a Unit Test Plan and Unit Test Cases, which are created during the technical design phase.

The IGOVERN™ Team will use the Apache JUnit tool for unit testing Java code. Our process allows developers to write test scripts for the individual functionality/feature before coding the functionality. A benefit of using the Apache JUnit tool is that individual unit test scripts can be grouped together to run automatically. This approach helps in automating unit testing and also can be used while regression testing a piece of code.

Unit test logs will be maintained in the configuration management tool for internal reviews. It is the Development Managers responsibility to verify unit testing defects are closed before a build is handed over to the testing team.

Code Profiling

While code review and unit testing play an important role in delivering high quality source code, it is also important to perform code profiling to detect potential performance bottle necks and memory leaks. The IGOVERN™ Team will use Apache JMeter for profiling the code and detecting potential performance issues. It beneficial to the project to detect memory leaks during coding rather than at the time of performance testing.

Defect Tracking and Resolution

The IGOVERN™ Team recommends PMSmart for defect tracking. This tool allows for the reporting of System Investigation Requests (SIR), association of a SIR tracking number and allows for documentation of the defect details and resolution, routing and tracking of the SIR. HCL's standard process is for the Development Manager to validate that defects are closed before a build is provided to testing team. The Agency will also have access to the defect tracking tool and will be able to review the SIR details and their resolution.

In addition to being a repository for the reported SIRs, this tool is also a repository for any other defect/issues found out by the team in the coding and unit testing phase. These could be code review defects put in by the Agency or the HCL team as also unit testing defects. The tool allows the definition of work flows for the routing of the reported defects. The defects reported in the tool can only be closed by following the specified workflow.

Build and Release Process

The Build Process will be used to automate the creation of binaries from source code. The IGOVERN™ Team will use the Apache ANT tool for creating builds. As part of the planning process a build and release procedure will be created. This process will outline steps needed to create the solution from source code stored in the source code repository. This automated and documented procedure will reduce errors during build releases. The same process will continue to be used after production rollout by the maintenance and support teams to rollout new patches. The build procedure will document the following:

- Environment
  - Development Environment
  - Runtime Environment
  - Version Control Tool
  - Build Environment
- Environment Settings
  - Directory Structure
  - Source Code Repository Folder Structure
- Build machine Structure
- Steps to update ANT scripts
- Steps to run the ANT scripts

A build or release will be accompanied by release notes. This document lists changes in source code and the reasons for the changes. If a change results from a defect or a change order request, the defect or change request number will also be listed in the release notes.

The iGOVERN™ team plans to overlap the Coding and Testing phases, therefore, new builds will be released to the Testing Team once new modules are developed and unit tested. During the development and test cycle, the release notes will be used by the Testing Team to plan the extent of system testing for new modules based on the modules included in the build. The Testing Team will also use release notes to plan for regression testing on a build.

Coding Phase Checklist

A coding phase checklist is a control tool maintained to track the applicable standards and processes have been followed by the team. The IGOVERN™ Team utilizes this tool confirm a quality output. It is the responsibility of the Project Lead to verify the check list is executed before considering the development of a module complete.

ix. Describe the proposed location for software development activities (Agency offices or Contractor provided facility). Refer to Section D, Exhibit 1, 8.9, Code and Unit Test.

HCL is a world class systems developer and integrator, with a strong presence in some 26 countries, not least of which is the USA. To further strengthen the breadth and depth of the products and services offered to its North American customers, HCL has established its Global Development Center (GDC) in Cary, North Carolina, in the famed Research Triangle Park. This impressive facility has been designed to accommodate over 500 professionals, working on a variety of different projects. The pictures below provide an internal and external view of the facility.

The GDC is also the global hub for the Unemployment Insurance Center of Excellence, and this is where much of the software and system development takes place. Some, necessarily, takes place on customers' premises. Within the GDC, the infrastructure has been designed to achieve both physical and electronic separation of different practices and projects. Physical and data security controls have been given special attention, and the staff receives security awareness briefing on a regular basis. Thus AWI can be assured that any sensitive data that it supplies to support the development process will be more than adequately protected.

The three main component of the proposed AWI solution – the iCapture Scanner, the Genesys IVR and iGOVERN™, are all mature products for which much of the functionality required has been developed. Much of the development effort for this project will be focused on configuration and integration of system components to meet AWI requirements, and interfaces with external systems. This effort will largely take place in the GDC. Any software modifications to the scanning and IVR software that might be required will take place in their suppliers' premises, which are both in California. Additional development of software for iGOVERN™, to meet AWI requirements that not yet supported, will take place within the GDC.

As the development lifecycle matures for a functional increment, the focus of the process will move to the AWI facility that will accommodate the solution. The software will be loaded into the AWI testing environment and, ultimately, the production environment. The HCL team will need access to the AWI facility, with space to work and network access to enable communication with the support teams in Cary and California. This access may extend to more than regular office hours, possibly including weekends. This stage of the project lifecycle will also need the support of the owners of the external systems that exchange data with AWI. Interface development and testing will require considerable coordination between geographically dispersed organizations.

Figure: HCL Cary Development Center

x. Describe the proposed system integration testing approach and methodology for this project. Refer to Section D, Exhibit 1, 8.10, System Integration Test.

System and Integration Testing

Process Model

The "Process-Expertise-Technology Enabler" Software Testing Model depicted below will drive System and Integration Testing of the iGOVERN™ implementation project. The model leverages defined, repeatable, well-managed test procedures; strong foundations of process expertise; and technology enablers. The proposed model is driven by commitment to quality assurance; practical and relevant experience in large scale system implementations and knowledge of the Unemployment Compensation business practices. The model addresses Functional, Non-Functional, Operational and Environmental aspects of the implemented product and is based on following building blocks:

- Repeatable test procedures and suites of reusable testware, ASQ tools, to increase efficiency and reduce costs of managing testing process
- Continual demonstration of system capability throughout the system lifecycle
- test process agility to enable flexibility for re-orientation, through continuous process evaluation and learning
- Metrics and continual line of attack monitoring to provide the foundation for continuous testing improvement
- Pre-built Vanilla package scripts and Best Practices

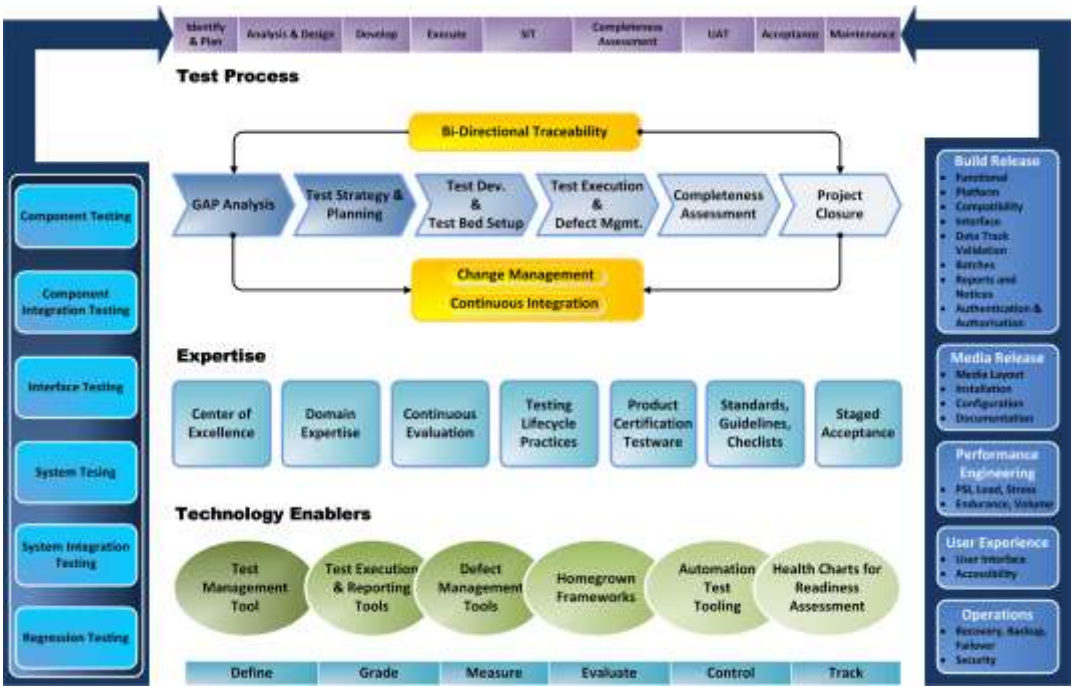

Figure: PET Model Overview

Test Approach

The approach adheres to ISO 9001 standards, which require that developed applications are thoroughly and comprehensively tested. The proposed methodology and procedures adhere to CMMi processes and are compliant to IEEE829 standards.

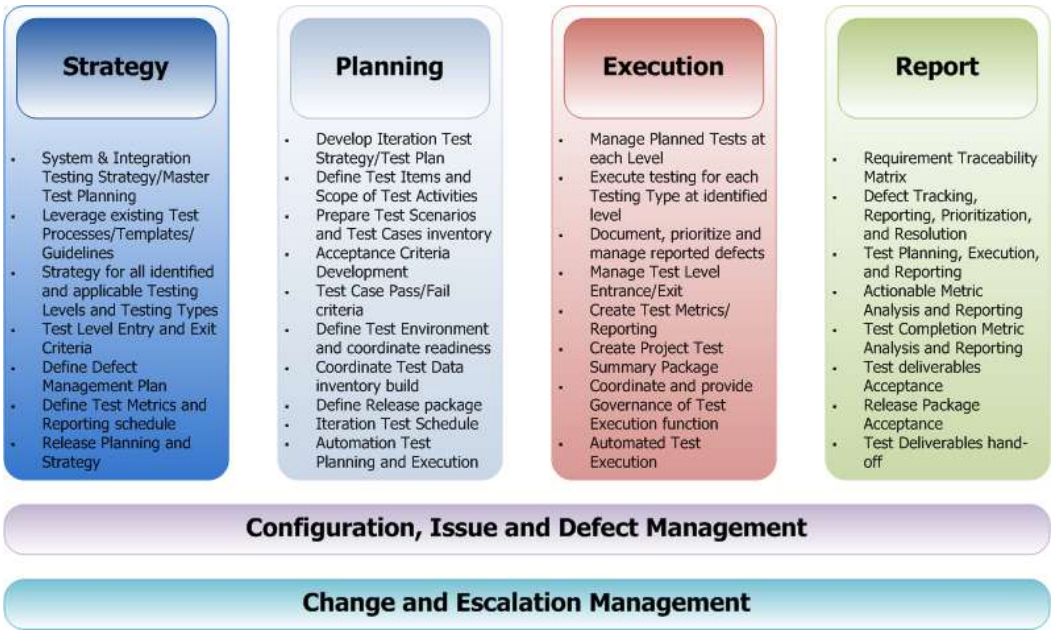

Figure: Test Approach

Testable Components

An important element of the proposed test model is to test components individually and through incremental integration with other components to address direct transition challenges of System and System Integration Testing alone. This focused testing allows the development of incremental confidence and leads to a better-quality finished product. To facilitate and coordinate the separate and simultaneous testing efforts at 'triggered' test levels, a complete Test Items matrix, covering test objects and aspects under test will be prepared as part of the finalized Test Plan for each iteration. The proposed matrix will be expanded to identify "triggered" test levels that these test objects will be subjected to. This will spell out the system capabilities or requirements that will be tested for each given application or component of the implemented product at any "triggered" Test Level and will serve as a critical input to Test Battery creation and Test Execution schedule. This matrix is considered a living document and, as requirements or designs changes as a result of the Change Management process are effected, this document will be updated by HCL. The Test Item Matrix addresses following objectives:

i. Provide that critical components along with specific aspects are identified as target test objects for specialized and/or standalone testing
ii. Provide that specialized and standalone test requirements for targeted test objects are catered to through provision of resources, test schedule and other assets
iii. Provide that quality assessment is an incremental process with close integration with development schedule
iv. Provide an organized format to communicate what is being tested and track the testing status of the same.

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During Test Battery development and later during execution, the Test Item Matrix can be extended to document the specific test scripts and scenarios used to test an identified test object and its testable aspects. The test components will be identified as system building blocks for the following solution components:

- iGOVERN™ Unemployment Compensation customized product
- Data Conversion programs
- *Interfaces* catering to data exchange and collaboration needs for interfaces with internal AWI systems, external systems, and AWI electronic transactions
- *Reports* based on Queries, Report, and Extract requirements
- *Correspondences* based on outbound correspondence requirements

Test Levels

- The test execution activities for identified test objects are expected to happen at following "triggered" Test Level.
  i. Component Testing
  ii. Component Integration Testing
  iii. System Testing
  iv. Interface Testing
  v. System Integration Testing
- All critical testable components are expected to "trigger" test execution at standalone Component level followed by integration with other interrelated components and at System and System Integration level.
- All major and medium criticality testable components are expected to "trigger" test execution at Component Integration level followed by System and System Integration

level. Exceptions include components involving complex processing and computations which will be subjected to Component Testing first.

- Component Integration testing is expected to follow the "sandwich" approach. If the development and testware development schedule allows, and test environment needs are provisioned for, a "top down" approach will be preferred.
- All medium to low criticality testable components are expected to "trigger" test execution directly at System and System Integration level. Exceptions include components which are either classified as utility functions, or involve complex decision coverage, and multiple condition coverage, which will be subjected to Component Testing and/or Component Integration testing first.
- Interface availability dependency during Component Integration and System Testing will be preferably resolved through use of stubs and drivers to the extent possible
- All interfaces of iGOVERN™ with internal AWI systems, external systems, and AWI electronic transactions will be subjected to Interface Testing covering interfacing scenarios, interface points and parameters used.
- System Integration Testing will involve fully developed test objects successfully assessed as meeting "test exit criteria" of preceding test level.

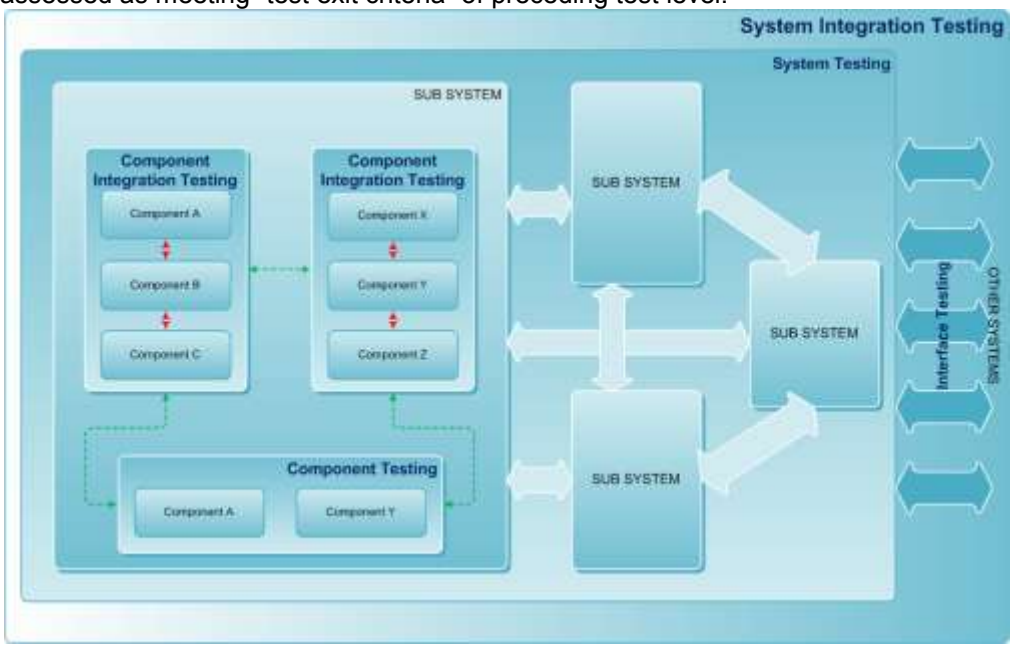


Figure: "Triggered" Test Levels

Acceptance Criteria

The HCL and AWI project teams will establish a joint process for defining, verification, validation and formal acceptance of Software Acceptance Criteria. The activities involved in establishing Acceptance Criteria of the project include, but are not limited to:

a. Identify System Requirements for categories of Acceptance Requirements during Gap Analysis
    - Functionality
    - Performance
    - Interface Quality
    - Overall Software Quality
    - Security
    - Software Safety.

b. Determine the system criticality and that of its components and identify quantifiable measure for acceptance of System Requirements. Typical factors affecting System Criticality include:
   - Importance of system to the target user
   - Consequence of failure
   - Complexity of component
   - Technology risk
   - Complexity of user environment.

c. Establish acceptance criteria for each measure.

xi. Describe the proposed user acceptance testing approach and methodology for this project. Refer to Section D, Exhibit 1, 8.11, User Acceptance Test.

User Acceptance Testing

AWI Business staff and IT System Administrator staff, along with support from HCL Team will perform the User Acceptance Testing. The objective of User Acceptance Testing is to:

i. Validate business scenarios that approximate how the implemented solution will be used in a production environment
ii. Evaluate efficiency of the man-machine and the web-browser interfaces
iii. Verify production readiness of the implemented solution from the perspective of those who will use or support the application
iv. Verify that the implemented product materially meets design specifications and supports AWI organizationally and procedurally i.e. system-to-staff interactions and staff-to-staff interactions
v. Establish user buy-in of the implemented product and familiarize key users, participating as acceptance testers, with the solution and its benefits.

User Acceptance Test Planning

AWI and HCL will jointly own the Acceptance Test Planning function and facilitate test documentation to capture

Approach and detailed test procedures for each acceptance test to verify the agreed System Acceptance Criteria

i. Phase entry and exit criteria
ii. Responsibility matrix
iii. Plan for execution and analyzing acceptance test results
iv. Stop and restart decisions.

While Project stakeholders from both AWI and HCL will review the Acceptance Test Plan and will validate, verify and accept the same, AWI or an AWI appointed IV&V vendor will be responsible for:

i. Plan for and ensure availability and participation of user group representatives and business function owners to develop acceptance test procedures
ii. Plan for facilities, special equipments, logistics and other resources required for acceptance testing
iii. Plan for personnel time for acceptance testing
iv. Plan for training of users and anyone involved with operating the system during acceptance testing.

Test Design and Documentation Strategy

The test case specification development process, along with test case classification and documentation strategy, are critical inputs to the test engineers responsible for designing and developing test case specifications for the Project. The influencing parameters for test battery setup include:

- Identifies test levels along with objectives
- Associates test types, test strategies, test methods for realization of associated objectives
- Test team organization and responsibility assignment.

Test Case Development Process

- The HCL Test Manager will prepare the Test Plan and establish Test Case Development process and Test Coverage criteria
- The HCL Testing Team will prepare test cases for all functional & non-functional requirements for Component and Component Integration, based on Gap Analysis inputs and Functional and Technical Design Specifications
- The HCL Testing Team will prepare test cases for all functional & non-functional requirements for Interface Testing based on Interface Design Specifications
- The HCL Testing Team will prepare test cases for all functional & non-functional requirements for System Testing based on end-user stories and user-function matrix.
- The HCL Testing Team and Functional Team will prepare test cases for all critical end-to-end usage and data flow scenarios for System Integration Testing
- The HCL Functional Team will review test cases for various system components/modules developed by HCL Testing Team.
- The HCL Functional Team and HCL Testing Team will jointly identify individual test case applicability for identified Test levels.
- Any review issues requiring clarification to be raised to AWI and HCL SMEs, as and when required.
- The HCL Testing Team will jointly assess impact of any approved change controls with HCL Functional and Development Team and incorporate changes in affected test cases or develop new test cases accordingly.
- Component, Component Integration and Interface test cases signed-off by the HCL Functional Team will serve as BASELINE and will used during test execution cycles. While all changes necessitated in the BASELINE test battery will be reviewed by the HCL Functional Team, these changes will not warrant approval by the HCL Functional Team except for situations whereby such approval is considered necessary by HCL Test Manager.
- System and System Integration test cases will be sent to the AWI Business Owners or identified SMEs for review and approval. The review comments, if any, will be incorporated prior to approval and sign-off. Any review issues requiring clarification and deliberation will be resolved through joint discussion, involving HCL SMEs and AWI Business Owners.
- System and System Integration test cases signed-off by AWI will serve as BASELINE and will used during test execution cycles. Though all changes necessitated in the BASELINE test battery will be shared with AWI, these changes will not warrant approval by AWI except for situations whereby such approval is considered necessary by HCL Test Manager.
- The HCL Testing Team will make all BASELINE test cases available in the Configuration Management system, categorized by applicable test level and test object. A ‘higher’ test level automatically ensures applicability for a ‘lower’ test level.
- The HCL Testing Team will update the Requirement Traceability Matrix and map the functional and non-functional requirements to System and System Integration test cases. The traceability should be 100% and can be shared with AWI, if asked for.

- The HCL Testing Team will prepare all agreed Test Case based metrics (Planned Test Cases ahead of execution cycle)

Test Coverage Criteria

The indicative Test Coverage criteria applicable for suggested Test Levels are provided below. The coverage criterion and associated goals will drive Test conditions identification for a particular test object. The test coverage criterion for a higher test level is inclusive of test coverage criterion for a lower level:

Test Level	Coverage Criteria
Component Testing	Entry and Exit Coverage Multiple Condition Coverage Path Coverage State Transition coverage Exception Coverage Data Pool Coverage Technical Specification Coverage
Component Integration Testing	Usage Model Coverage Functional Specification Coverage Data Flow Coverage
System Testing	Specification Coverage User Function Matrix Coverage Workflow Path Coverage
Interface Testing	Interaction Scenario Coverage Integration Point Coverage Parameter Coverage
System Integration Testing	User Story Coverage Operations Scenario Coverage

Test Case Documentation

Test Case documents covering all identified test scenarios for a test object will be prepared in the structure explained below:

i. Test Item Definition to identify the test object
ii. Document Control procedures including resources responsible for document control procedures execution and change tracking
iii. Test Conditions with detailed description of all identified test conditions. Each Test Condition will be detailed using the following information:
   a. Test Case Identifier with priority classification
   b. Purpose of the test condition with short description of the test object's system function aspect under test
   c. Pre-conditions i.e. assumptions that need to hold true for test case execution
   d. Test Data inputs through a list of variables and their values used during the test case execution
   e. Execution Steps to carry out the test

f. Expected Results (including logical interim results, if any) to be achieved to measure successful execution of the test case.

Test Case Classification and Execution Strategy

All the developed test cases will be classified based on priority i.e. criticality of the test condition, and its impact on the test object and overall system at the time of test case development. The classification criterion is explained below:

Priority Code	Description
P1	High Priority Test Cases, comprising test cases for test object's core system functions, successful execution of which is required for furtherance of test execution cycle. This would be a small subset (5-10%) of identified test cases at the test level and would serve as Smoke Test Suite for the test object.
P2	Major Priority Test Cases, comprising test cases for test object's system function, successful execution of which will ensure coverage of explicitly stated business rules/conditions for all the business flows and functionalities incorporated within the test object. This set should be executed for application builds involving the test object. This, along with High Priority Test Cases, will constitute Regression Test Scenarios for the test object.
P3	Medium Priority Test Cases, comprising test cases for test object's system function in known operational conditions, environment constraints and exception paths. This set should be executed along with High and Major Priority Test Cases will constitute Re-Testing Scenarios for an application build involving critical and moderate defect fixes for the test object.
P4	Low Priority Test Cases, comprising test cases for test object's system function when subjected to various input data and usage error conditions. This set should be executed successfully at-least once in a test execution lifecycle.

The identified test cases for a test object at an application build at a given Test Level will be executed in the order of priority i.e. P1 test cases will be executed ahead of P2, P3 and P4 test cases, in that order. Exceptions to the general rule of test case execution established above include instances wherein lower priority test case(s) of a test object are identified as a prerequisite for a higher priority tests of a same or different test object included in the application build.

Staged Acceptance

The challenges of direct transition of pre-release to released package are aimed to be addressed through 'Staged Acceptance'. This holds relevance with incremental software component addition in a pre-release package and new developments being added to released packages. The key tenets of 'staged acceptance' include:

- Obtain contractual approval and/or certification
- Dynamic assessment of user and operational environment impact on to-be release package prior to development closure
- Perform usage scenario based testing in a real operational environment, with real data
- Build confidence on incremental and continual basis across all test levels.

- Build and utilize continued evaluation and reverse feedback mechanism into the process model through bi-directional traceability - circular nature of test process improvement.

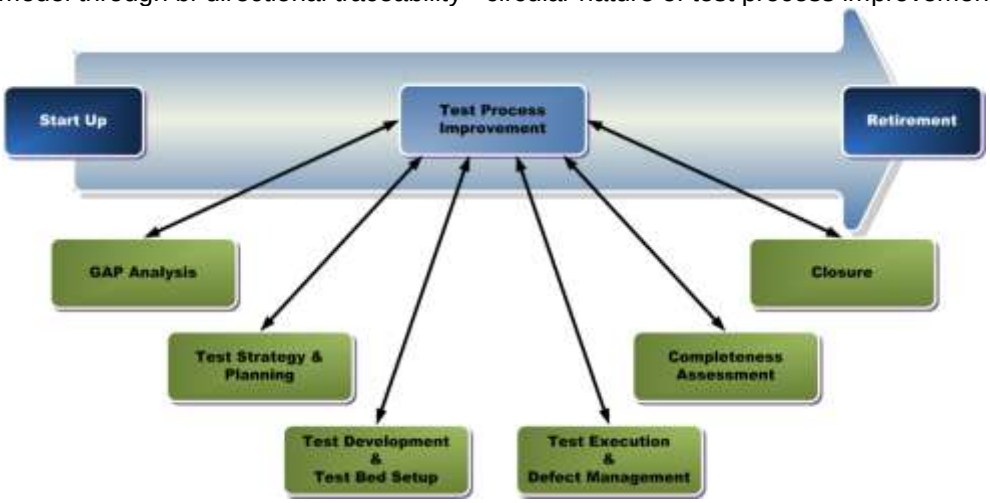


Figure: Test Process Improvement

'Stage Acceptance' requires a series of planned 'acceptance' and 'release' tests identified for each test object at each test level. The tests will be planned in such a way that all unstable test objects or objects that do not include basic functionality required for 'product quality" evaluation at the test level are identified and rejected.

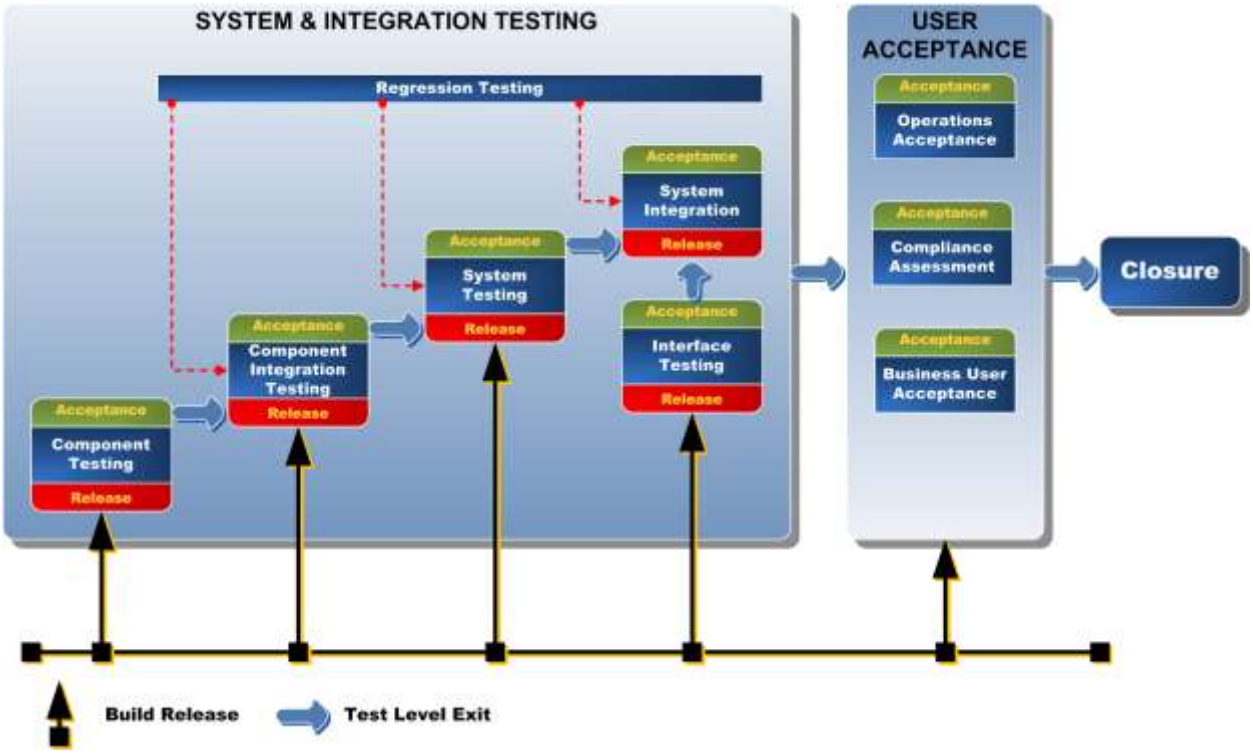


Figure: Test Process Improvement

Test Completion Criteria

Well defined and objective 'entry' and 'exit' criteria will be used for all planned testing levels. These criteria will be developed through discussion with the AWI Project Manager and HCL Implementation Manager, and will be used for a agreed decision on 'test completion assessment' using the following inputs:

- Evaluation of the achieved test progress based on test schedule and achieved test coverage, with respect to defined test coverage for applicable test levels.
- Evaluation of available test results with subsequent conclusions drawn on product quality.
- Estimation of residual risks arising from defects which either remain undetected or not fixed.
- Evaluation of test completion indicators against acceptance range to be jointly agreed upon by the AWI and HCL

Figure: Test Completion Evaluation

Entry and Exit Criteria

The general Entry and Exit criteria for the project are specified below. The detailed Testing Level specific Entry and Exit criteria for all applicable test levels will be developed and described after detailed discussion with Project stakeholders for each iteration, prior to iteration start.

Entry Criteria

- Test Plan, Test Metrics and Test Results Reporting Process are baseline
- Gap Analysis findings and Technical Design Specifications have been reviewed and incorporated in the test object
- Test Battery and Test environment setup is complete
- Test object has passed prior Test Levels and all 'Critical' and 'Moderate' defects found during the same have been tracked to resolution and closure. The defect fixing plan and release schedule for all pending 'Minor' defects have been agreed upon between the Development and Testing team.

Exit Criteria

- All applicable P1 and P2 Test Cases identified for the Test Level have been successfully executed with the exception of P3 and P4 test cases. The defect fixing plan and release schedule for all pending 'Minor' defects resulting from failed P3 and P4 test cases have been agreed upon.
- All defects found during testing activities at the Test Level have been logged and tracked to closure/resolution with the exception of any pending 'Minor' defects. The defect fixing plan and release schedule for these pending defects is known and available.
- Known issues and limitations of the test object have been documented to be tracked in Release Notes for subsequent test iterations at subsequent Test Levels.
- Test Results Summary at Phase/Cycle/Iteration End has been prepared and distributed to relevant stakeholders

Suspension and Resumption Criteria

During test execution cycles, intermediate assessment of a test object's readiness to complete the test level will be governed through a series of well defined and traceable "suspension" criteria.

In the event of one or more "suspension" criteria being realized, the test object will be returned for repairs to development and subsequent re-evaluation at an earlier test level.

The "entry criteria" for the interrupted test level will be used as "resumption" criteria for suspended test execution activities to be re-initiated, upon:

i. Alleviation of factors causing "suspension", and
ii. Successful "exit criteria" re-assessment of test object for the earlier test level

The suspension and resumption criteria for all applicable test levels for a implementation iteration will be developed through deliberation with AWI Project Manager and the HCL Implementation Manager.

xii. Describe the proposed data conversion approach and methodology for this project. Refer to Section D, Exhibit 1, 8.12.3, Data Conversion. The data conversion assumptions are to be used by the respondent in order to properly size and estimate the data conversion effort that will be needed. These are high level requirements that are not intended to provide an exclusive list of all data that will be converted. The complete list will depend on the solution selected and the application and database architecture and design.

Data migration and conversion will require a set of activities that moves data from all existing systems to a new structure preserving core business knowledge and making it accessible from the new iGOVERN™ system.

Data migration and conversion for the UI system will involve following activities:

- Planning and scoping the project
- Extracting data from the source applications
- Cleansing to repair corrupt data or invalid records
- Removing duplicates
- Transforming the source data to confirm to the targeted Database
- Translating source values to new data derived schema or databases.

HCL understands the importance of successful data migration and conversion activity while AWI will be adopting the new UC system. Data migration for the new system will ensure that:

- Migrated data is consistent and complete
- There will be a minimum impact and interruptions to the users
- A very high-level of accuracy is maintained
- Migration and conversion records is maintained for audit purpose.

HCL anticipates that there may be certain challenges that may be encountered during the data migration and conversion process:

- Data is not available in existing systems – in such cases manual data entry approach may be used using the data entry applications.
- Migration of process states of long running processes/workflows maintained in existing systems
- There may be data inconsistencies or errors in existing data that may not allow deducing correct data – in such cases all inconsistencies will be highlighted and will be tracked until the error has been corrected.

Approach for Data Migration and Conversion for the AWI System

Based on our understanding on the challenges involved in data migration and conversion requirements for UI systems, HCL proposes to execute a step-by-step data migration and

conversion using the ITTO (i.e. Input, Tool & Technique, Output) Strategy. Each stage of the data migration & conversion step is advanced using the ITTO Strategy.

As HCL is unfamiliar with the AWI legacy system data structures and corresponding data format, we propose to modify the ITN roles and responsibilities related to data conversion. HCL will assume full responsibility for data conversion and data cleansing as defined in the ITN. To promote efficiency in the data conversion process and reduce cost and risk, we suggest that AWI assume responsibility for the following tasks under HCL management and data conversion planning and responsibility:

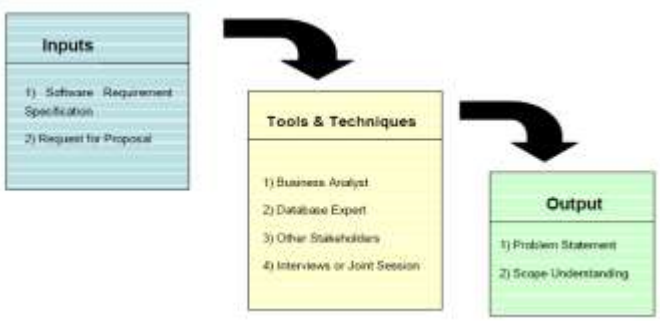
- Data Extraction from the Mainframe Legacy Systems
- Data Cleansing

Accordingly, we have structured our proposal around the following assumptions:

ITN Stated Contractor Responsibility	HCL Assumptions
The Contractor shall develop the software and/or use software to extract data from all existing systems, ancillary databases and Excel spreadsheets and transfer it into the proposed UC solution.	AWI Staff will develop all data extraction routines and perform the extraction of mainframe legacy data. AWI Staff will also validate and sign off on the extraction routine for accuracy
The Contractor shall be responsible for all data cleansing activities, related to systematic data cleansing and identification of potential manual changes that need to be addressed by the Agency. Data cleansing includes improving the accuracy, quality, and integrity of the data to be converted and migrated to the new system. Data stored in the current systems is known to have some inaccuracies, duplication, and gaps. The Contractor shall produce reports to identify records that are probable duplicates based on criteria supplied by the Agency.	HCL will assume this responsibility with automated routines as the cleansing will be done in the target system i.e. the proposed UC solution. Any data updates in the AWI legacy systems will remain AWI's responsibility.
• Recommend procedures for handling missing data, data exceptions, and default values. • Recommend the method for combining duplicate entities/records into one record.	All data updates arising from the above tasks will be AWI's responsibility
• Provide support to enable the Contractor's staff to write and execute data extract programs for legacy systems.	AWI staff will assume responsibility for the task of data extraction with staff dedicated for this purpose. In addition, AWI staff will validate and sign off the extraction routine for accuracy.

Approach for Data Migration and Conversion for the AWI System

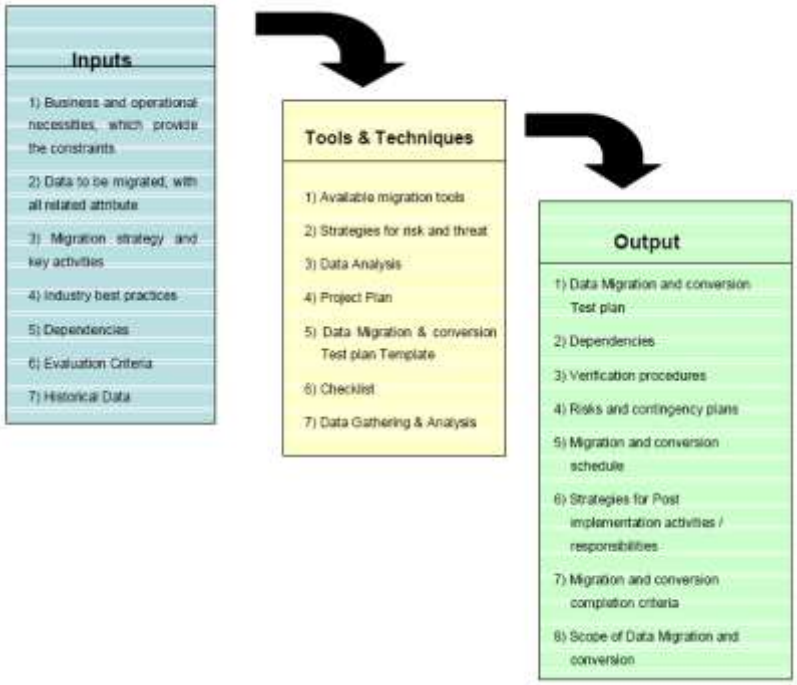
At this phase of the Data Migration and Conversion process, HCL's Business Analysts and AWI's DB experts will document the problem statement. This will be achieved by referring to requirement specifications and also by interview sessions with various stakeholders. This will be used in defining the scope and



will become a foundation for all the phases. This phase will also be used to set right expectations for all the stakeholders.

Migration and Conversion Plan

The Data Migration and Conversion Plan will be one of the critical activities for the new UI System. It is very important that the key stakeholders should understand "what data can be migrated and what can not". The Data Migration & Conversion plan, will function as the blueprint for the migration and conversion implementation, specifying final expectations, defining deliverables, and identifying migration methodologies to be used is the outcome of this phase.

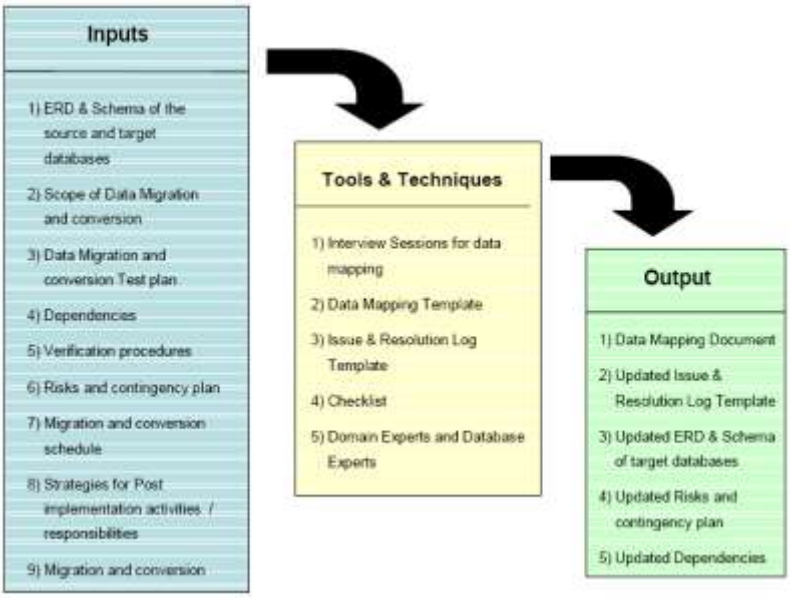


Although the migration plan for the new UC System will be the end deliverable of the planning phase, it will be really a living document. Variables in the AWI environment can change, or execution can lead to unexpected results, influencing the migration plan as originally documented.

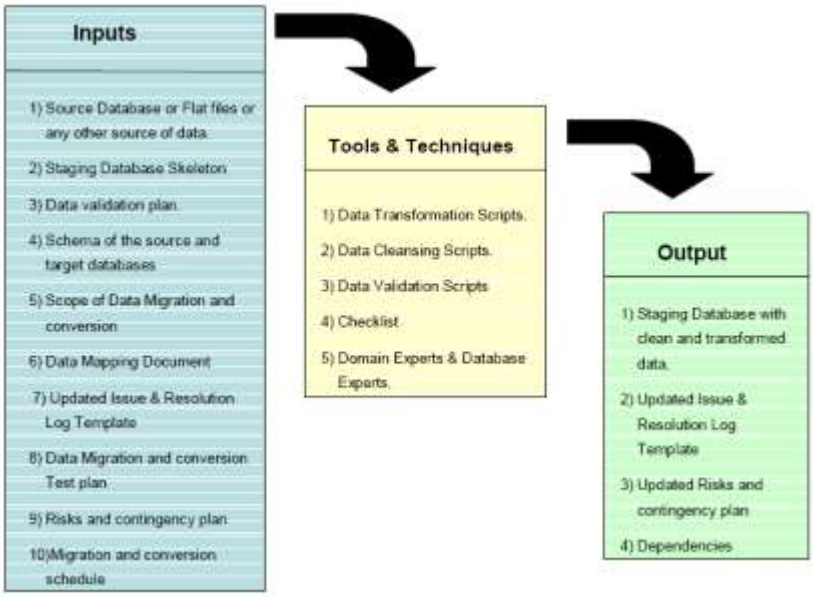
Preparation for Migration

This phase will ensure that all the stakeholders are aware of the existing and targeted schema and have all the required information available to them. During the preparation for migration & conversion for new UC system.

The key aspect of this phase will be the use of Domain Experts and Database Experts who can assist in the speedy mapping by resolving issues that arise during the process. The deliverables of this phase will form the basis for development of migration scripts.



Importing Data into Staging Database



The data dump received from AWI is used for loading the staging database. This can also be used to create a test environment for the new UC system.

The preferred way to collate and migrate data into the staging area would be through AWI supplied flat files. HCL will load data from these files into a staging area which can also be used for data cleaning purposes.

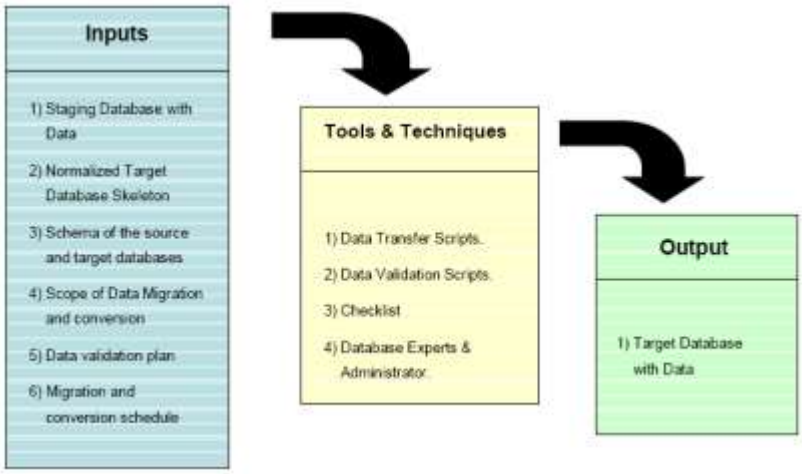
Depending on the complexity, the migration & conversion may need to be staged, moving some parts of the data before others. During the staging, the staging database will be populated with data merged from current source systems into a single, intermediate (staging) database and this staging database will act as sources for new UC system. Much of the data transformation will be done during this stage.

The major advantages to creating the staging databases are:

- We can run “pre-migration data fix” scripts against the data before we begin the major load
- Once in staging database, it is very easily to transform and query data rather than dealing with flat files or other database formats and syntax

Cleansing of the data is proposed to be done by AWI to ensure accuracy of the existing data. If the data is not correct, it will be fixed before making the transfer. Cleansing the extracted data involves a number of activities including removal of old or inactive data, merging duplicates, updating the remaining data to the new format as per requirements of the AWI system.

Full Migration and Validation



The data will be ready to be moved from the staging environment to the normalized environment of new UC system. It could involve further transformations before being imported into the target. This phase may be a time consuming phase as the time taken depends on the correctness of the previous phases and their iterations.

HCL believes that data validation is most sensitive. In this process, data is evaluated for potential problems, which are flagged and identified to the users. Unresolvable problems can

be identified at this stage, along with untranslatable data, so they can be set aside and not gum up the whole data migration works.

Balancing criteria will be used for data validation technique. This will include counts, sums, financial reports & figures as on cut-off date etc. These figures will be calculated before and after mapping and then will be matched to find any discrepancies.

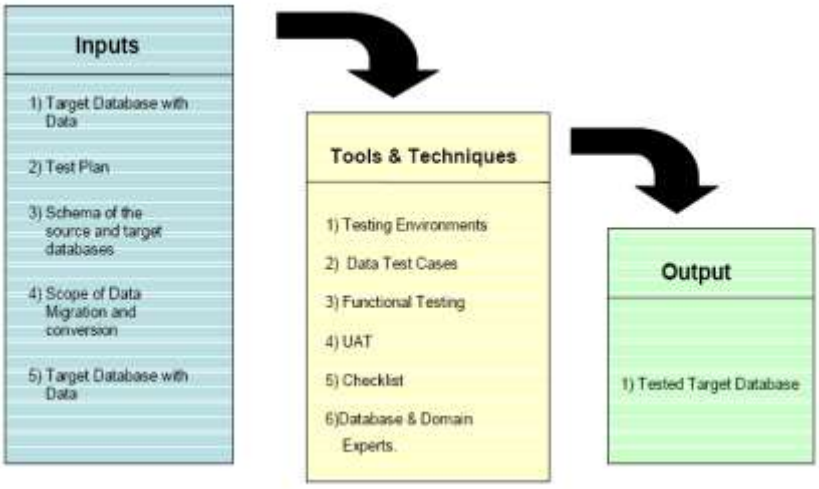
The target database will be filled up at the end of this phase and will be ready to go for testing.

Testing the Migrated Data and Implementation

Testing of the migrated data for new UI system will be divided into two core subject areas: logical errors and physical errors. Physical errors are typically syntactical in nature and can be easily identified and resolved. Physical errors have nothing to do with the quality of the mapping effort. Rather, this level of testing will be dealing with semantics of the scripting language used in the transformation effort. Implementation will be where we identify and resolve logical errors. The first step is to execute the mapping. Even if the mapping is completed successfully, we will still be validating the result by asking questions such as:

- How many records did we expect this script to create?
- Did the correct number of records get created? If not, why?
- Has the data been loaded into the correct fields?
- Has the data been formatted correctly?

The truest test of data mapping will start when the populated target data structures will be available for the AWI users that assisted in the analysis and design of the core system. Invariably, the users will begin to identify scores of other historical data elements that must be migrated that were not apparent to them during the analysis/design sessions.



Our past experiences suggest the fact that data mapping often does not make sense to most people until they can physically interact with the new, populated data structures. Frequently, this is where the majority of transformation and mapping requirements will be discovered. Most people simply do not realize they have missed something until it is not there anymore. For this reason, it is critical to unleash them upon the populated target data structures as soon as possible.

The data migration testing/implementation phase will be reached as soon as possible to ensure that it occurs prior to the design and building phases of the core project. Otherwise, months of development effort can be lost as each additional migration requirement slowly but surely wreaks havoc on the data model. This, in turn, will require substantive modifications to the applications built upon the data model.

The involvement of AWI SMEs and technical resources during this entire data migration cycle has a very important role to play in the knowledge transition of the new system to AWI. During this

exercise they get to work closely with the newly designed database, thus gaining good insight into the detailed design as well as hands on experience of working on the same. As per our experience, this has worked as a very effective knowledge transition tool.

Tools recommended for Electronic Data Migration

- Assuming that AWI can get the data into staging area, HCL recommends using its own proprietary tool for the data migration from staging into new database. The recommendation is based on the following benefits AWI would receive from the choice:
    - It provides a user friendly visual environment, which would provide ease of data mapping, conversion and debugging during AWI UC data migration.
    - It provides ready reports on data migrated and error detected.
    - It needs minimal mapping because it retains the data structures compatible with iGOVERN™ is built by default, which makes the whole process a lot quicker and smoother.

xiii. Describe the proposed installation and implementation approach and methodology for this project.

HCL recognizes that for successful implementation of any solution, a collaborative and interactive approach is imperative. Such an approach would help in timely and qualitative accomplishment of the following objectives, required for a successful implementation: -

1. Availability of right resources and people at the right time
2. Timely fulfillment of pre-requisites
3. Verification & Validation to certify successful accomplishment

The diagram below presents different steps to be undertaken in HCL's approach and methodology for Installation & Implementation of UC solution. The steps have been specified in a bottom-up manner and they would have to be repeated per implementation cycle – in case of the proposed UC solution, it is a 3-phase/iterative approach with each iterative going into production by itself, therefore these steps would be executed for each round of production of UC solution: -

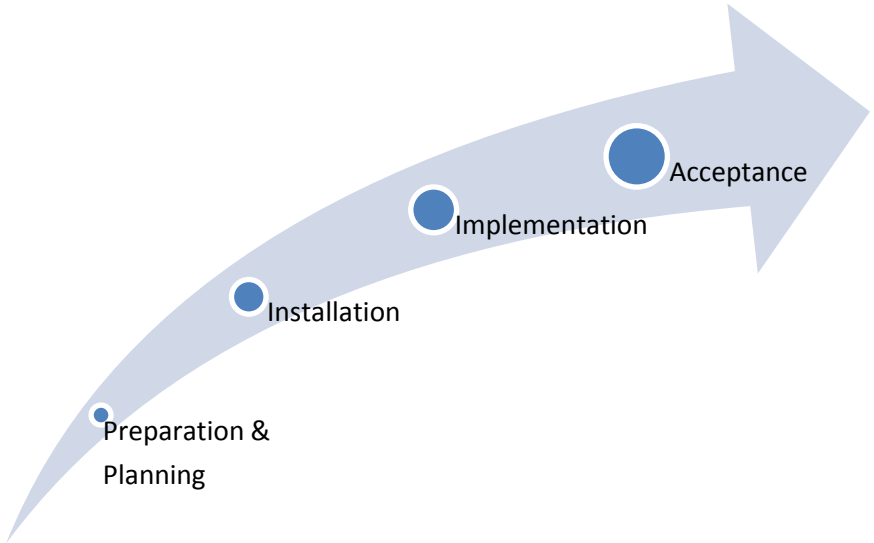


Figure: Installation & Implementation Approach

The tables below provide an ETVX representation of the installation and implementation methodology shown above: -

1. **Preparation & Planning**

Entry point (Inputs)	Tasks	Validation	eXit (Output)
Project Initiation	• Create System Implementation Plan[A] • Create Infrastructure Plan[B] • Create Support Plan[C]	Review System Implementation, Infrastructure and Support plans	Approved & signed-off System Implementation, Infrastructure and Support Plans

System Implementation Plan[A]

As part of implementation planning, HCL shall create and deliver to AWI a System Implementation Plan providing a detailed blueprint from the system, processes and people perspectives, to allow AWI and HCL to smoothly roll-out the proposed UC solution. HCL proposes to include the following in this plan: -

- **Pre-requisites** – will define the tasks (including order and timing) that will be done in preparation for installation and production
- **Pilot schedule** – will provide iteration-wise plan for pilots with timelines and target users
- **Process and procedure testing** – will define the validations performed during production pilot to test operational readiness
- **Roll-out schedule** – will establish the schedule and scope of roll-out for each iteration
- **Team plan** – will identify the user-set/team-wise roll-out plan for each iteration
- **Training plan** – will establish a user-set/team-wise training plan for each iteration
- **Detailed implementation map** – provides a roadmap of the cutover tasks, including system roll-out, conversion run, approval signoff, go- no-go, and manual procedures
- **Risks and mitigations** – shall define the risks to implementation and how those risks are mitigated
- **Roll-back planning** – outlines the contingency plans that will be in place if implementation issues arise, with a focus on business continuity should system rollback procedures become necessary
- **Data Conversion & Population Plan** – defines the production conversion run in terms of timeframe and tasks
- **Installation procedures** - defines the solution components and procedures that will be followed during production
- **DBA procedures** - lists the procedures that will be followed by the database administrator when making change to the database.
- **Roles and responsibilities** – details the roles and responsibilities for each team member and group during cutover, production, and the support transition period

- **Site Implementation Plan** – describes time-lines and plan for multi-site including DR site, roll-out
- **Transition Plan** – describes the process from existing systems / process to the proposed system
- **Pilot acceptance verification checklist** – will document the verification criteria for pilot acceptance
- **Production readiness verification checklist** – will document the verification criteria for production readiness
- **Production acceptance verification checklist** – will document the verification criteria for production acceptance

In addition to the above, System Implementation Plan shall also include Infrastructure Plan and Support plan, which have been discussed separately below:

Infrastructure Plan [B]

As part of implementation planning, HCL will also create and deliver to AWI an Infrastructure Plan that shall provides a detailed blueprint from the technical side, which shall include plans related to procurement & installation of hardware, software, system and users in the system. HCL proposes to include the following details in the infrastructure plan:

- **Software Matrix –** will provide the list along with versions of software required to be procured by AWI in order to deploy the proposed UC solution. There will include categorization of Proprietary software with associated Benefits & Risks.
- **Hardware Matrix, Deployment Architecture & Server Sizing –** will provide a list along with specifications of hardware, servers, storage, etc. to be procured by AWI in order to deploy the proposed UC solution. This will also include alternative specifications wherever possible.
- **Hardware Procurement Plan –** will include details such as units, time-lines, etc for phase-wise incremental procurement of hardware, so the AWI team is aware of the procurement requirements and is able to arrange for the needed hardware in time.
- **Hardware Installation Plan –** will include phase-wise incremental installation plan for hardware, so the AWI team is aware of the installation requirements and is able to arrange for its team members such as network administrators to have time-slots, as needed, in the Southwood Shared Resource Center (SSRC) data center, and to be available to work with HCL as required.
- **Software Procurement Plan –** will include details such as units, time-lines, etc for phase-wise incremental procurement plan of software, so AWI team is aware of the procurement requirements and is able to arrange for the needed software in time.
- **Software installation plan –** will include a phase-wise incremental installation plan for software, so AWI team is aware of the installation requirements and is able to arrange for its team members, such as system administrators, to be available to work with HCL in time.
- **System Setup plan –** will provide details such as initial setup & configuration of the system, user setup, data population, etc. per iteration-wise roll-out. In line with the users and integration requirements per iteration, this will also include server setup details such as heap-size, virtual memory, user sessions, etc.
- **Benchmarks –** will include certified benchmarks such as users, storage, load and performance that can be supported by the system.

- **Disaster Recovery Plans –** will include details such as site, link, processes & procedures, solution coverage, benchmarks, etc. for the DR site, in case the primary site of AWI were to face any outages.
- **Infrastructure readiness verification checklist –** shall document the verification criteria for infrastructure readiness for application deployment.

Support Plan [C]

HCL will provide a discrete Support Plan as well to AWI, which shall include information such as:

- **Help Desk details –** such as help desk number, availability timings, etc.
- **Technical and Functional Support –** Details of support personnel available at different sites to assist users with technical and functional issues

2. Installation

Entry point (Inputs)	Tasks	Validation	eXit (Output)
Preparation & Planning	• Procure hardware • Install hardware • Setup storage infrastructure • Procure software • Install software • Integrate network infrastructure	Execute Infrastructure readiness verification checklist	• Production ready infrastructure

3. Implementation

Entry point (Inputs)	Tasks	Validation	eXit (Output)
Installation	• Deploy application • Setup database • Setup & configure application • Populate converted data • Setup users • Train users	• Execute Pilot acceptance verification checklist • Execute Production readiness verification checklist	• Pilot sign-off • Training sign-off

4. Acceptance

Entry point (Inputs)	Tasks	Validation	eXit (Output)
Implementation	• Use the application for planned number of days • Execute Production acceptance	Execution of Production acceptance	• Implementation sign-off • Final acceptance

Entry point (Inputs)	Tasks	Validation	eXit (Output)
	verification checklist	verification checklist	report • Warranty / Support kicks-off

xiv. Describe the proposed hardware installation approach and physical installation location for each phase of the project. Refer to Section D, Exhibit 1, 8.13, Installation and Implementation.

HCL will utilize the standard best practices as well as its previous experience on implementation projects for similar environments. These standard processes and checklists would ensure proper installation without any issues or deviations.

HCL has designed the hardware requirements in a way which would be having redundancy involved at multiple layers to ensure high availability.

We prefer to amalgamate our process with AWI's overall procurement and installation process in order to arrive at the best possible results.

Installation

The illustration below outlines the build/deployment stage. This process holds true for a new deployment. In case of refresh of these servers or upgrade of old servers, these would follow the Change Management procedures.

Process

- Once the hardware configuration is approved by both HCL and AWI, HCL shall procure the hardware from the vendor and depending upon the type of hardware component to be installed, the respective teams would get involved.
- The teams shall crosscheck the configuration of the device involved and whether it is in sync with the requirements
- Once this has been updated, it is then passed on to the technical team for the Build Activity.
- The Respective SMEs install the Server/ Network Device/ Storage device and shall get in touch with the application teams to check whether they are still able to access the applications without issues. Once this has been done, the Server will be shifted into the RUN part.
- The Network Connectivity and Security would be verified by involving the respective teams from the Customer and the HCL Technical Excellence Groups.
- In order to ensure proper function, the following tests are also carried out for the systems.

Configuration Testing: These tests focus on the Build Guide. This testing precedes all other formal testing to ensure that subsequent test phases are carried out on a system that was configured exactly as documented. For example

- Check IP Addresses, gateway, DNS, routing
- Check raw partition, File system size and type
- Check Swap space
- Kernel parameters (for Unix).

Build verification testing: are designed to verify that the application built correctly. Following the Build Guide adheres to the principles documented in the architectural reference, in addition to the verifications performed in the build, installation and configuration testing. These tests are also useful because they frequently expose human errors that may have occurred during the build process. The following activities are involved as a sample:

- Patch Level verification for OS & DB
- Verify Security Patch Level
- Verify OS Services Running
- Verify DB Services running
- Check storage configuration
- Check Network Connectivity, network Services Availability
- Check Monitoring and management tools configured properly.

Availability testing: This testing helps to ensure that Load Balancing, Clustering and other services primary or secondary availability features are available and working under varying conditions. Availability tests are typically carried out by causing a failure in one of the redundant components and verifying that the backup component takes up the functionality with no unexpected interruption of service. Availability tests are first run without significant load on the target server and then re-run with near saturation loads e.g.

- Power Supply Redundancy test
- Data Base fail over test
- Application fail over test
- Load Balancing test for Web Tier, Apps Tier, Data Base Tier, Storage Tier.

Security testing: Security testing is performed to ensure that only users with the appropriate authority are able to use the applicable features of the architecture. Two approaches used for security testing are audits and penetration testing. Audit tests are run during the build verification testing phases to ensure that security-related configurations are correctly documented in the Build Guide and that they have been correctly carried out by the system builders. Penetration tests are carried out after the system is completely built and all account policies and network security have been applied and are locked down.
Penetration tests are conducted in depth, with each defence-in-depth layer of the architecture successively probed for vulnerabilities using hacking tools and approaches that are known to the security community. The activities involved are:

- Authentication Test
- Authorization Test
- Vulnerability Scan test
- Penetration Test
- Security Patches
- Audit Trails
- Account Locking
- Password Management
- Verify Role Segregation
- Permission Settings at file level, directory level, file system level
- Password encryption
- Physical Security
- Access Control List
- Session management

- Integrity test.

Backup and restore testing -This testing is done to aid production support in ensuring that adequate procedures are in place for restoring the system should a disaster occur. Different areas of the architecture have different backup and restoration needs. Each area is tested with both backups under high system load and restoration to blank systems.
Following activities are performed based on backup/recovery strategy:

- O.S. Backup/recovery
- File Level Backup/recovery
- File system level backup/recovery
- Data Base Backup/recovery
- Application Backup/recovery
- Full system backup/recovery
- Verify completion of Backup within backup window
- Verify On-line/ Off-line Backup
- Verify Full/Incremental/Differential Backup
- Verify Old backup media is readable/restorable
- Backup Scheduling
- Backup Failure alerts
- Backup Operator/Administrator Access
- Media Management.

xv. Describe the proposed production pilot approach and methodology for this project. Refer to Section D, Exhibit 1, 8.14, Production Pilot.

Production Pilot Approach

Production Pilot is an important part of HCL's implementation methodology, where each implementation cycle undergoes the piloting before it is rolled out to the entire set of business users. As the cornerstone of achieving operational readiness along with such activities as training, production pilot testing can give AWI the insight into how each operational area will use the solution and identify any system and operational issues that should be addressed prior to actual implementation.

Here are the steps typically followed during pilot:

i. Perform limited Data Migration

ii. Deploy the UAT accepted build on pilot site

iii. Conduct parallel testing

iv. Assess the operational/system changes required per feedback

v. Apply changes and perform refresh

The Production Pilot is executed once User Acceptance Testing (UAT) is successfully completed. The approach is to select a set of users in one or more locations to participate in the pilot operations. The user set will be selected during the development of the Pilot Plan.

A comprehensive Pilot Plan will be developed as part of implementation planning, which will address in detail how the Production Pilot will operate, participants roles and responsibilities, training to be delivered for the Pilot participants, daily activities preformed, communication procedures, problem resolution processes and escalation, and exit criteria for acceptance.

The Pilot data will be converted before the Pilot operations commence. This will allow converted data to be used during the Pilot test, which will better simulate the production environment. It will also help identify potential issues with converted data and overall data problems that will need to be corrected.

During Pilot operations, AWI UC system will run in parallel with the existing set of systems and double data keying in will happen. Users will also get a chance to compare the end output in both the cases to ascertain the correctness of business logic and system behaviour. Once pilot operations are successfully completed, complete data conversion will be performed again. Any transactions carried out in the AWI UC system pilot will be discarded and a complete data and system refresh will happen.

We understand that BPR work has already been done to assess the degree of change that is expected with this implementation. The Pilot can provide additional insight into the degree of the organizational change that will occur with the implementation of the new system. AWI can depute a team of change champions during the Pilot to assess the degree of resistance to the required changes based on the actual use of the system. This information can then be used to review and to address end users need for support and acceptance of the change in work flow and business processes.

Here are some of the other benefits the Pilot approach will bring in towards the success of the implementation:

- Assess effectiveness of the training program
- Assess effectiveness of the user documentation
- Assess functioning of the interfaces with other systems and data flow
- Patch deployment process validation
- Support function readiness
- Users and site readiness for AWI

b. Describe the proposed end user training approach and methodology for this project. Refer to Section D, Exhibit 1, 9.1, Training.

Consistent with Business Objective 1, the project will develop and provide robust staff training experiences that result in desired staff knowledge, and skill levels, commensurate with their job duties.

The training program will be designed using adult learning methods and will be based on end users' needs in relation to their Agency process roles and responsibilities. The training will be designed and resourced to accommodate the following major target group considerations:

1) Primary training, including material for all aspects of the business process, for all end users (approximately 670). This will be a computer classroom-based program in small groups of up to 20 concurrent trainees.

2) Advanced training for Super Users, designed to be provided to smaller groups with user-level appropriate business process simulations and problem solving scenarios.

3) Advanced technical users, involving customer support strategies/methods training for Customer Service, Help Desk, and User Support Specialists, and other technical and system administration personnel as may be identified.

4) Remedial and new staff training opportunities during implementation to ensure required skill mastery, and to accommodate workforce turnover issues.

5) Post-training competency evaluation to ensure knowledge transfer and desirable skill level development.

6) Pre-acceptance and Pre-pilot training for select users for each of 3 pilot implementation phases.

Facilities and Locations:

USF will secure use of computer equipped training facilities in each of the six locations identified in the ITN: Tallahassee, Ft. Lauderdale, Jacksonville, Pensacola, and two locations in the Orlando area. USF has access to multiple training facilities currently and previously utilized for training DCF staff in use of the statewide SACWIS system implementation and current pre-service training. Each training facility contains hardware and connectivity suitable for the proposed new UC solution. Each trainee will be afforded an individual computer work station throughout the training classes. This will interact with the system training environment and provide realistic hands-on training and practice components. These facilities will be available for training for each implementation phase as well as scheduled pre-acceptance and pre-pilot training for selected participants.

Training Plan:

A detailed initial Training Plan, which includes a specific implementation schedule and plan and schedule, will be developed and submitted for review and approval within 5 business days of contract award with a final approved plan complete within 10 days of receipt of review comments/requested changes. The project will submit updated Training Implementation Plans, and provide monthly reports of activities and outcomes of the preceding month, and identify any requested adjustments to the plan that require review and approval.

Elements of the detailed Training Plan will include, but not be limited to:

1. A training curriculum and design that:

   a) Contains modules for multi-level users based on an assessment of their needs in the context of their agency process roles and responsibilities.

   b) Is developed to build upon material in prerequisite classes, such as for Super Users and Help Desk or Technical staff and built upon experience in pre-pilot and pre-acceptance training.

   c) Includes step-by-step user and system instructions that offer data field options and status updates.

   d) Is developed using instructor led, computer-based training in a training environment that simulates the users production environment and is consistent from one session to another.

   e) Is delivered in small groups that accommodate adult learning methods, group activities, individualized attention, and hands-on practice learning.

   f) Includes repetition and focuses on skill building to maximize self-sufficiency post-training.

   g) Includes on-line support materials including access to training guides, system updates, frequently asked questions, job aids, and similar information easily accessed by end users to support continuing education and knowledge/skill maintenance, and is integrated with the online help functionality in the UC application solution.

   h) Includes skill-based testing with measureable success indicators (scores) to assess trainees' skills and knowledge transfer and provide for ongoing evaluation of the training effectiveness and continuous quality improvement.

   i) Includes test scores, completion/pass certificates, and trainee name, dates, etc. suitable for the employees' training/personnel record and transmitted to the Agency.

   j) Includes a training/information module suitable for external users to access and learn functions available to the general public.

   2A. A detailed Training Implementation task and activity schedule (timeline) for review and approval will be provide within 5 business days of contract execution. The plan will include, at a minimum, activities, tasks, responsible staff, schedules/due dates, updates or outcomes as appropriate, and contain key components such as:

      a. Maintenance and deployment of a pool of qualified trainers who are available ongoing or on an as-needed basis for whenever a particular need is identified.

      b. A completion schedule for training tasks and deliverables developed in concert with the technical development team's production and rollout schedule to accomplish "just in time" training for users.

      c. Delivery of training curricula in accordance with the approved Training Plan.

d. Management outcomes for the timelines, contract deliverables, data collection, staff resources, and the operation of the various UC system application training activities.

e. Development, implementation and maintenance of an online training registration system meeting ITN specifications.

f. Development and implementation of online training support resources including training guides, job aids, and information and instruction for general public.

g. Assigned tasks and resolution action for issues that impact the UC system application training operations.

h. Coordination of trainer classroom assignments and schedules with prospective trainees including coordination with supervisors.

i. Coordinate participant training to include, but not be limited to, site readiness, registration and attendance, scheduling, skill testing data collection, data input and posting, tracking, and reports and documentation.

j. Collection of data and submission of performance measure results monthly

Proposed Training Performance Measures:

- 100% training deliverables submitted by due date specified in approved Implementation Plan
- 100% of each training module curricula is submitted, revised and approved for execution prior to each training module training implementation date
- 100% of month and/or quarterly reports are submitted by negotiated due dates
- 90% of trainees will achieve a “pass” score on training post-tests that assess achievement of desired skill level.
- 90% of trainees who respond to a customer satisfaction survey request will be satisfied with the training provided.

2.B. Proposed Training Implementation Plan Modifications and updates procedures:

a. Any change to the Training Implementation Plan shall be requested in writing, with justification for the change, to the Project Manager prior to the proposed change date.

b. The proposed change shall be approved or denied, in writing, by the Project Manager prior to implementing the change.

c. Each approved and denied change shall be entered on the Training Implementation Plan prior to the next reporting due date.

The Training Implementation Plan task and reporting elements will include but not limited to:

a. Approved and denied change requests

b. Tracking of each Trainer’s training delivered and attended to include but not limited to:

   a. For each training delivered: Trainer Name, Training Date & Time, Training Address

   b. Training Title, Training type and # training participants

c. Aggregated monthly YTD training delivered by date by trainer to include but not limited to:

1. Training Title;
2. # training days per trainer;
3. # participants trained;
4. Address of each training;
5. Type of training delivered: classroom, field-based, on-the-job coaching, observation, feedback, consultation, or technical assistance;
6. Monthly & aggregated YTD performance specifications to include:

training participants,

training participants requested to complete a satisfaction survey,

training participants who completed a satisfaction survey,

training participants overall satisfied,

training participants not overall satisfied, & % compliance;

training participants completing training post-tests

training participants pass and fail results

training participants pass/fail on re-test

training participants identified for supplemental training class due to post-test fail results

Proposed Deliverables:

1) Training Curricula modules

a. Phase 1 training module: Super Users, Call Center, Technical and other required staff for the Internet Claimant module.

b. Phase 2 training modules - Full UC solution (4):

1. All end user comprehensive UC system specific training (12 hour training) Prerequisite for modules 2, 3 and 4 below

2. Customer support and troubleshooting strategies and techniques (6 hour training) – for Customer service, help desk and user support staff

3. Technical Support Training - Super Users, Help Desk, Technical staff (8 hours additional training) – high level technical training conducted in conjunction with system technical development staff.

4. Remedial/Refresher Training (4-8 hours) – designed for staff requiring additional training and practice to successfully complete skill test and for staff requiring refresher training as determined and requested by their supervisors

2) Records and Documentation of training delivery and implementation task completion:

a. Each written request to and each approval and denial from the project manager for any changes to the Training Implementation Plan.

b. Training project staff employment screening records.

c. Professional Qualifications for each staff required to meet employment screening requirements and professional qualifications records.

d. Copies of satisfaction surveys used to determine compliance with performance specifications.

e. Hard copy and electronic copy of each Training Curriculum module, including tests, training/job aids, and ongoing training support material.

f. Copies of Training Participants Sign-In Sheets for each training day delivered.

g. Documentation of aggregate training delivered and attendance.

Staffing Requirements

Professional Qualifications

All training related staff will meet or exceed qualifications required by USF and the Agency, as described in the ITN and as may be modified during the life of the project. This will include:

- Employment Screening - The project will ensure that trainers and all USF staff assigned to the project are of good moral character and meet the Level 2 Employment Screening standards as specified in sections 435.04, 110.1127 and subsection 39.001(2), F.S.

The following are required as a condition of employment and continued employment and shall include, but are not limited to:

- Education and employment history and reference verification that reflect appropriate education and experience suitable for high level systems training to adults in classroom settings
- Curriculum development
- Project management and coordination
- Other requirements as necessary based on their business process roles and responsibilities with the USF training project.

Other requirements:

- Fingerprinting for all criminal record checks;
- Statewide criminal and juvenile delinquency records checks through the Florida Department of Law Enforcement (FDLE);
- Verification of absence of conflict of interest
- Ability to travel statewide to deliver training as assigned

Training Environment

The skills-based computer classroom training will be designed and delivered using the training environment and database developed for this purpose. The training will capitalize of a sufficient database to simulate all likely functional scenarios within each end users business process role and duties for their positions. The data and training exercises will be realistic and, to every extent possible, use scenarios likely to be encountered in the trainees' real-world job experiences.

Computer training will be classroom based and instructor led with individual computer stations provided for each trainee to maximize hands-on and repetitive practice experiences.

Training and curriculum development staff will work seamlessly with the technical system development staff to ensure curriculum and training fidelity with the applications training environment.

The USF training team will work closely with the Agency's Training Team Leader and Project Manager in all aspects of development, implementation, and monitoring of the training delivery. The USF team will participate and cooperate with any Agency training support.

c. Describe the proposed approach and methodology for the development of user documentation. Refer to Section D, Exhibit 1, 9.2, User Documentation.

iGOVERN™ UC has got an extensive documentation set, which comes bundled with the product. These pre-existing documents get updated during the implementation project, based on the customizations supplied to the Agency, to match the final set of functionality delivered. This provides a tremendous advantage over a custom build approach, where all the documentation must be created from scratch.

The product bundle includes the following user documentation:

- User Guide
- System Administrator Guide
- Online Help
- Computer Based Training
- FAQ.

During the gap analysis process, the project team identifies all the areas of the user documentation which need to undergo a change. Based on that a traceability matrix is created to make sure that all necessary changes have been made.

The online help provided with the iGOVERN™ system is very robust and detailed, describing every window and field in the system and its purpose. It provides tips and techniques on how an end user may use the system. In addition, the help is context sensitive, providing immediate assistance by clicking on the Help button in the toolbar while in a certain screen, taking an end user directly to the help for that particular screen.

User documentation will be available to the various user groups in a number of different formats in online as well offline mode. The following table describes the formats and purpose for each of the user documents.

User Documentation

Document Name	Purpose	Document Format
• System Administrator Guide	• Provides the System Administrators with all the details and easy to follow steps on all the options available to them for day to day administration of the system.	• PDF
• User Guides	• Provides users a reference and functional information on the application.	• PDF
• FAQ	• Provides users step-by-step instructions on how to do key tasks and answers common questions raised by new users.	• PDF • HTML
• CBT	• Provides users with an option to undergo self training	• HTML

	without the need of an instructor.	
• Online Help	• Provides the application users with immediate context sensitive help about day to day use of the application.	• HTML

d. Provide a list of all deliverables associated with the proposed project approach by project lifecycle phase. Refer to Section D, Exhibit 1, 10.0, Deliverables.

S. No	Deliverables	Responsibility	Recipient	Phase	Sign-Off Required from AWI(√)/HCL(√√)
1	Project Scope	HCL	AWI	Initiation and Planning	√
2	System and Business Processes, Procedures and Maintenance Documentation	AWI	HCL		X
3	Existing Application System Documentation and Interface Libraries	AWI	HCL		X
4	AWI Policies and Procedures Documentation	AWI	HCL		X
5	AWI Documentation Standards and Guidelines	AWI	HCL		X
6	AWI security Requirements and Guidelines	AWI	HCL		X
7	Project Schedule	HCL	AWI		√
8	Project Management Plan	HCL	AWI		X
9	Integration Management Plan	HCL	AWI		X
10	Cost Management Plan	HCL	AWI		X
11	Schedule Management Plan	HCL	AWI		X
12	Quality Management Plan	HCL	AWI		X
13	Change Management Plan	HCL	AWI		X
14	Risk Management Plan	HCL	AWI		X
15	Communication Management Plan	HCL	AWI		X

S. No	Deliverables	Responsibility	Recipient	Phase	Sign-Off Required from AWI(√)/HCL(√√)
16	Configuration Management Plan	HCL	AWI		X
17	Issue Logging, Tracking and Resolution Plan/Issue Management Plan	HCL	AWI		X
18	Data Migration and Conversion Plan	HCL	AWI		√
19	Gap Analysis Document (Requirements Validation)	HCL	AWI	Requirements Gathering	√
20	System Acceptance Criteria	AWI	HCL		√√
21	Requirements Traceability Matrix	HCL	AWI		√
22	Use Case Extensions (Business Process Updates)	HCL	AWI		√
23	Data Model, Database Schema, Data Dictionary	HCL	AWI	System Architecture and Prototype	X
24	Prototype	HCL	AWI		√
25	UI Interface Design Specifications	HCL	AWI		√
26	System Test Plan	HCL	AWI		√
27	Acceptance Test Plan	HCL	AWI		√
28	Data Migration Plan	HCL	AWI		√
29	Functional and Technical Design	HCL	AWI	Detailed Design	√
30	Data Migration Mapping Document	HCL	AWI		X
31	Unit Tested Build	HCL	AWI	Construction and Unit Testing	X
32	System Acceptance Test Procedures	AWI	HCL		√√
33	System and Integration Testing Summary Report	HCL	AWI	System and Integration Testing	√
34	Performance Testing Summary Report	HCL	AWI		√

S. No	Deliverables	Responsibility	Recipient	Phase	Sign-Off Required from AWI(√)/HCL(√√)
35	Build for AWI System Acceptance Testing	HCL	AWI		X
36	System Acceptance Testing Calendar	HCL	AWI	System Acceptance Testing	√
37	System Acceptance Testing Results	AWI	HCL		√
38	System Acceptance Note	AWI	HCL		√
39	Pilot Operations Plan	HCL	AWI		√
40	System Admin Manual	HCL	AWI	Training	X
41	End User Training Manual	HCL	AWI		X
42	CBT	HCL	AWI		√
43	Train-the-Trainer Manual	HCL	AWI		X
44	User Manual	HCL	AWI		√
45	Training Feedback Forms	AWI	HCL		X
46	Disaster Recovery Document	HCL	AWI	Production Rollout	X
47	Operations Manual	HCL	AWI		X
48	Procedures Manual	HCL	AWI		X
49	Cut Over Plan	HCL	AWI		X
50	Data Migration Results	HCL	AWI		√
51	iGOVERN™ UC deployed in production	HCL	AWI		√
52	Post Project Evaluation Document	AWI	HCL		√
53	Requirements Traceability Matrix	HCL	AWI	All	√
54	Deliverable expectation document (DED)	HCL	AWI	All	√
55	Weekly Project Status Report	HCL	AWI	All	X

e. Provide a proposed set of service level agreements, in addition to those contained in Attachment Q – Requirements Response Matrix, for the Design, Development, and Implementation and Operations and Maintenance phases of the project. Refer to Section D, Exhibit 1, 11.0, Service Levels and Liquated Damages. The formulation of Service Level Agreements and associated liquidated damages for inclusion in the contract will be handled during contract negotiations. The use of resources or facilities outside of the United States is prohibited and shall not be proposed. Refer to Section D, Exhibit 3, 9.14.

As a general rule, HCL will strive to turnaround any issues/defects in its deliverables in 10 working days during Design, Development and Implementation phase. However, we understand that there may be unique situations where we may have to mutually agree with AWI on different timescales. Any deviations to these SLAs will be agreed in advance.
For any software issues during Operations and Maintenance phases, when the system is in production, HCL will propose the following SLAs:

Severity Levels
The severity level of all defects reported to or identified will be categorized upon logging of the defect in accordance with Table below:

Level	Category	Description
1	Critical	Production use of the supported programs is stopped or so severely impacted that AWI cannot reasonably continue work. System experiences a complete loss of service.
2	Major	System experiences a severe loss of service. Important features are unavailable with no acceptable workaround; however, operations can continue in a restricted fashion.
3	Minor	System experiences a minor loss of service and a non-critical function/feature of the system is not working
4	Trivial	Issue affects a user or users on a minimal level. The issue does not result in any stoppage of work and may be cosmetic in nature.

Response and Resolution Times

The following response times and resolution times are directly related to the Severity levels given to each Incident. These will be applicable between the support working hours of 7:00 AM till 9:00 PM EST, Monday to Friday except state holidays.

For clarity sake, a “Response” is defined as the following minimum information:

- Acknowledgement that the fault notification and all related information has been received
- Acknowledgement that the fault is being actively investigated

Resolution will be considered applied, once a fix has been deployed on QA environment or a workaround has been provided to continue the operations.

Severity Level	Service Level Agreement (SLA)	
	Call Response	Mean Time to Repair (MTTR)
1	2 hours	18 hours
2	4 hours	48 hours
3	8 hours	72 hours
4	16 hours	Next Upgrade/To be Scheduled

6.3 Technical Description

HCL is recommending our iGOVERN™ professional product, in combination with other proven 3rd party COTS products, as our solution for meeting or exceeding AWI's needs for a completely modernized Unemployment Compensation (UC) solution.

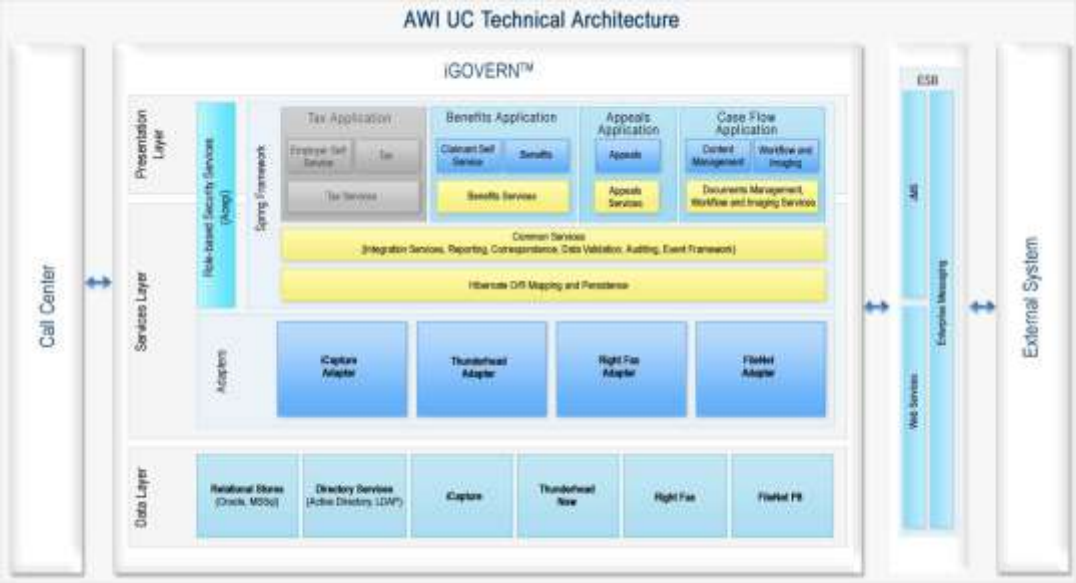


Figure: AWI UC Solution

Overall Solution: Our proposed solution is a comprehensive, scalable, reliable, and uses state of the art technology that will enable efficient and effective support for AWI's Unemployment Compensation operations over an extended period. The solution is designed to support thousands of concurrent, real-time user transactions. The architecture is build to scale vertically and horizontally as well through server cloning as AWI's needs grow in future.

The major components of the solution are discussed below.

iGOVERN™ UI:

iGOVERN™ forms the backbone of proposed AWI UC solution designed with the principles of ("Write Once, Run Everywhere"), platform independent technology, and provides support for multiple databases. iGOVERN™ serves as one of the most advanced and comprehensive starting point for UI systems available, and can be readily extended to implement State specific requirements. Some design principles incorporated into iGOVERN™ include:

1. Modern technical architecture that supports integration with new technology.
2. Business logic and workflow that is easily configurable through a Business Rules Engine and database driven architecture.

3. Service-oriented architecture (SOA) that allows functions to be exposed in the form of web services for internal and external integration
4. Common industry standards.

Salient Points:

- The integrated Case flow system leverages third party COTS systems, and fully automates the imaging and workflow requirements of AWI in addition to Content Management, ICR and OCR. The document images are stored electronically and can be mailed electronically to external users thus eliminating the need of and issues associated to maintaining paper records. The workflow solution integrated with the Claimant Self Service, Benefits and Appeals modules automates workflow management, increasing the productivity of employees and reducing bottlenecks.
- The iGOVERN™ architecture provides flexible integrated Benefits and Appeals UC solution for operational efficiencies. Claims and Appeals can be filed online, reducing the paperwork and average time in resolving / closing a claim or an appeal.
- The AWI UC places strong emphasis on security and provides granular role-based security and audit trails, integrated with standard security, access, and identity management solutions.
- The AWI UC is built around centralized database and the application provides for an object to relational mapping between the underlying relational database and Java objects contained within the core functions. This improves performance and flexibility of the whole system, hides complexity and limitations of the relational data model, and creates a road map to make the whole system database vendor independent.
- The AWI UC Solution is designed to support 24x7 operations with 99% uptime through redundancy at the hardware, network and software levels.
- The solution is designed and tested to perform as per the platform matrix defined below
- While Tax is component of iGOVERN™ but it is out of scope for AWI UC solution.

Type Of Software	Software	Version
J2EE Framework	Spring Framework.	3.0.2
Persistence	Hibernate	3.3.2
Enterprise Service Bus	JBOSS Enterprise SOA Platform	4.3
Java Messaging Queue	ActiveMQ	5.3.2
Security	Spring Security (Acegi).	3.0.2
Authentication	CAS (Single Sign-on)	3.3.5
Reporting	BIRT	2.5.2
Scheduling	Quartz	1.8.3
Application Server	JBOSS IBM WebSphere Application Server	4.3 7.0
Database	Microsoft SQL Server Enterprise	2003,2008

	Edition Oracle	10g
Correspondence	Thunderhead	Now 5.0
Image/Content Mgmt	IBM FileNet Content Engine	4.5
Workflow Management	IBM FileNet Process Engine	4.5
Data Capture Software	iCapture	4.0
FaxServer	RightFax	9.4
Address Validation	PitneyBowes CDQP UAM	8.74
Operating System	Windows Server 2003 Enterprise Edition Windows Server 2008 Enterprise Edition	2003 2008
Batch/Event Framework	Spring Batch	2.0
Browser	Internet Explorer	5,6,7

Integrated IVR and Call Center:

The IVR system enables one form of Claimant Self Service, using the telephone whereby Claimants are able to perform a number of transactions through the interface with the IVR system. The integration between the IVR system and iGOVERN™ allows the IVR to collect data from the main data structures. The IVR system makes call against an exposed web services from iGOVERN™. The web services calls provide the IVR with data to read back to the caller, as well as accepting data from the IVR to make modifications to database objects. Should the claimant need human assistance, the IVR transfers the call to the call center attendant.

The call center interface is an important piece of the iGOVERN™ architecture that allows call center software to access pertinent claimant information and relay that to the interested parties. The interface also allows call center software to make modifications to UC claimant information or employer profile information, if needed.

External Systems:

The AWI UC system addresses the large number of external system interfaces (3rd party systems) common to UI environments. The Integration Services layer automatically detects the presence of incoming and outgoing interface files, and has the capability to process heterogeneous file formats including XML, tab delimited files and relational database tables. In addition, through Application Programming Interfaces (APIs), the Integration Service layer has the capability to incorporate synchronous, asynchronous, and real-time online transaction processing with external systems.

To substantiate this recommendation, the following sections describe the architectural underpinnings of the current technical solution, and how these form the basis for meeting AWI's requirements. The description is in two parts, as follows:

- Architecture and Technology Solution Design Principles
- Architecture and Technology Solution Design Approach

Architecture and Technology Solution Design Principles

HCL recognizes that a successful UC architectural and technological solution involves much more than the implementation of technology components, which host the various tiers of a distributed application. It requires:

- The integration of people, processes, and technology working within the constraints of fixed budgets and timelines
- Meeting a broad range of constituent requirements and expectations for service
- An imperative need to deliver results quickly
- Early recognition and mitigation of technology risks
- Constructive responses to the continually evolving business requirements typical of large-scale UC operations.

Considering this complexity, experience shows that the process for designing the optimal current-state architecture for a major UC transformation is as critical to project success as the proposed architecture itself. For this reason, we have developed our partnership-based iGOVERN™ architectural development approach for UC solutions. The intent is to enable AWI to assign appropriate technical resources to work alongside our development team as we refine the technical solution. Not only does this improve AWI's understanding of the technologies chosen, it also is a major contribution to meeting the Knowledge Transfer requirements.

Architecture and Technology Solution Design Approach

HCL applies a thorough and sensible approach to developing UC Solution technical architectures. We understand from experience that a successful technical architecture has many components, encompassing everything from a satisfying end user experience, to enabling completion of the project on time and within budget, and all points in-between. In addition to being fully ITN-compliant, a successful technical architecture must recognize the dynamic nature of emerging technologies and the potential for mandated changes to UC business requirements during the project. During a UC transformation life cycle spanning more than two years, success will be achieved by working in partnership with AWI to assimilate evolving business requirements, apply emerging technologies, and establish appropriate priorities for the technical architecture implementation.

A joint AWI/HCL Team, working in a sensible and flexible fashion, will ensure that the resulting technical architecture is optimized from a business and technology strategy standpoint. Our approach to design and implement a UC technical architecture is illustrated in the figure below.

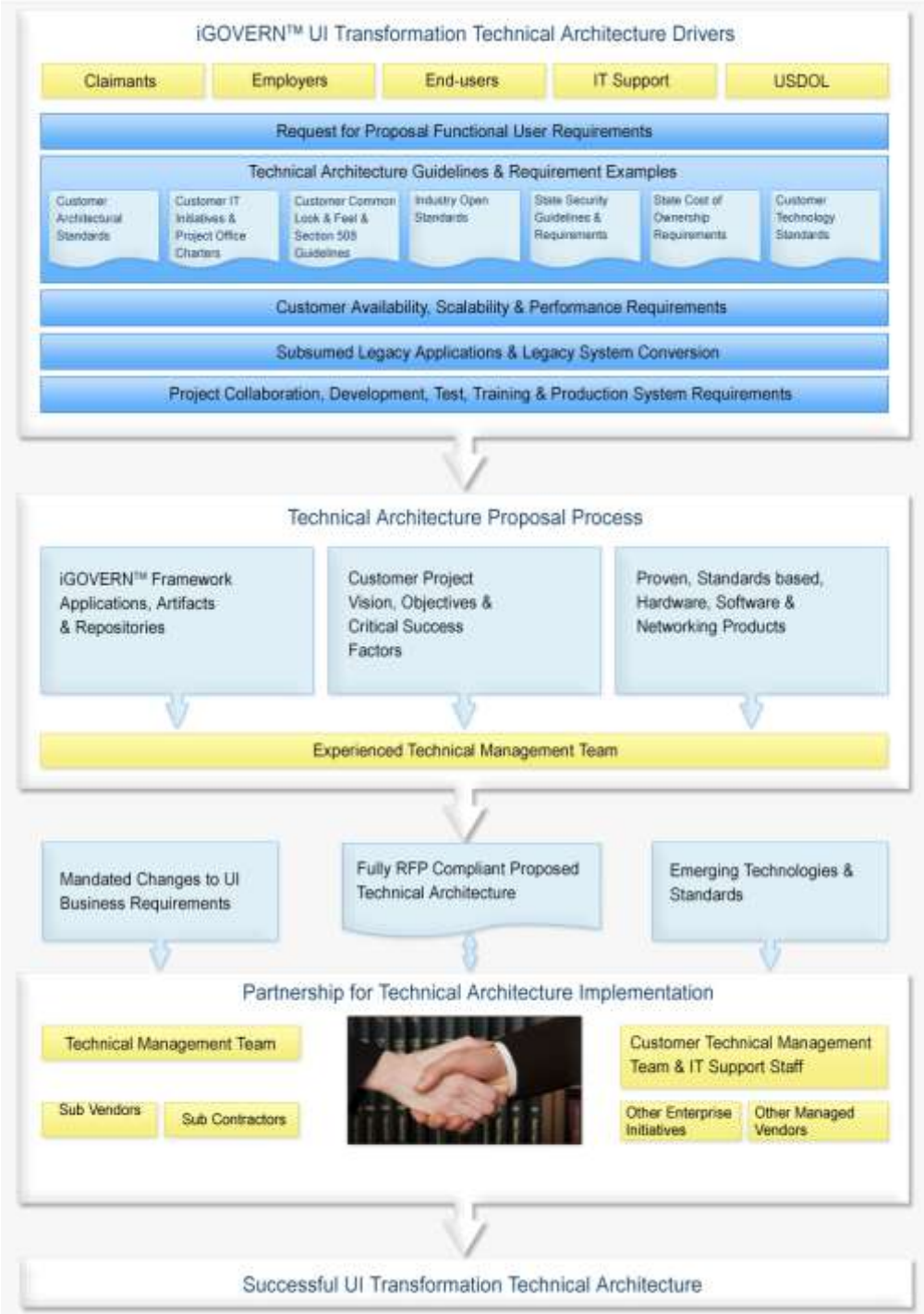


Figure: Technical Architecture Processes

a. Provide a description of the General System Architecture of the proposed solution. Describe the benefits of this System Architecture and how it supports the objectives of the proposed UC solution.

HCL utilizes a interface friendly approach for architectural and technical components of our UC Solution while maintaining the sanctity of base architecture. As a starting point, we present conceptual system architecture in the figure below which, we believe represents a proven technological approach for supporting the AWI solution.

Details of the components of this architecture are discussed below.

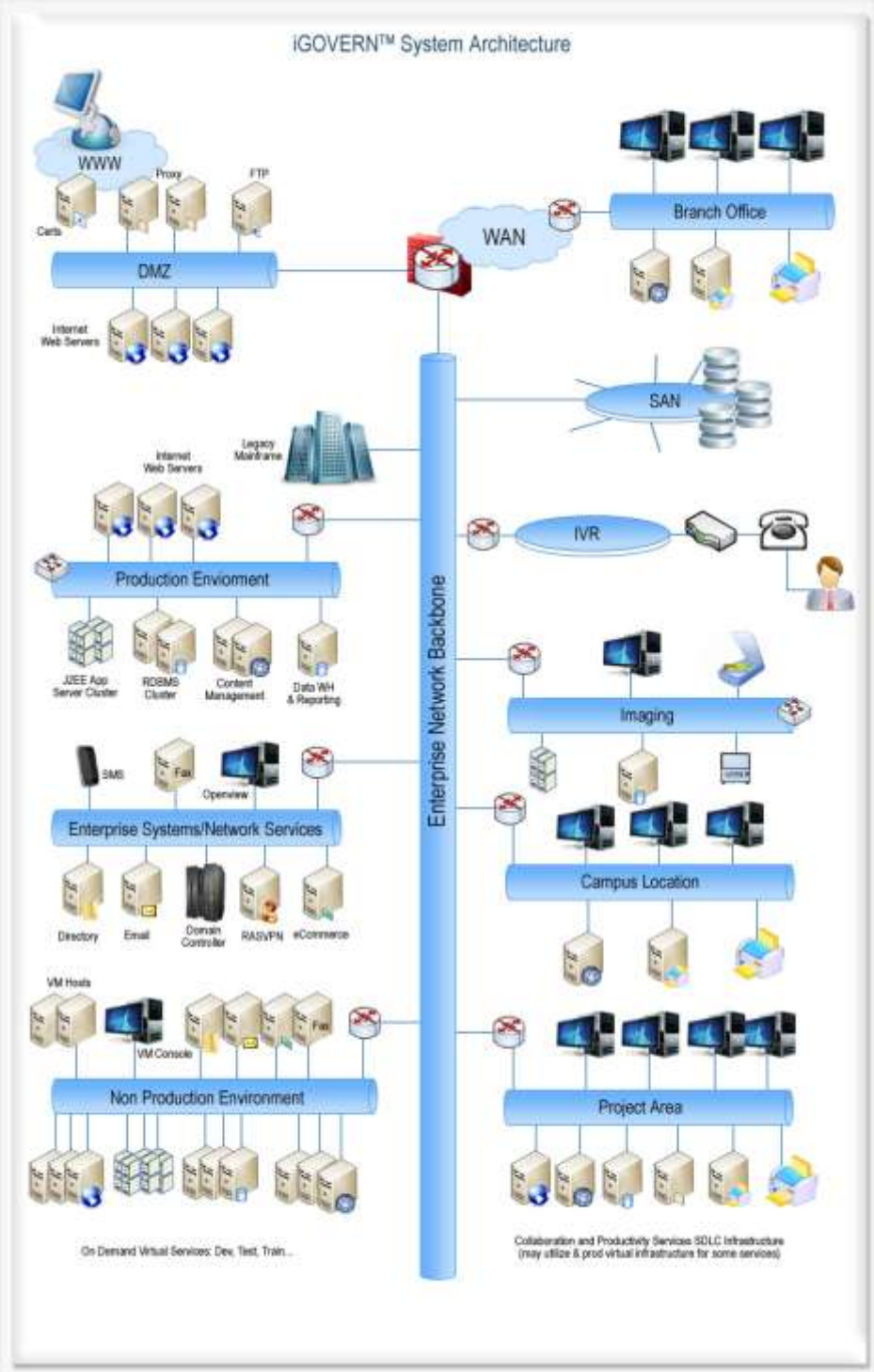


Figure: An Initial System Architecture Proposal

Internet-facing Solution Components

The AWI UC solution provides browser based Internet access to system functionality through a network Demilitarized Zone (DMZ) as shown in the figure above. This network feature may be leveraged from existing customer infrastructure, or the project may be required to implement all or part of the DMZ solution. Functionality residing in the DMZ typically includes proxy services for outgoing UC end user Internet access, web content caching and FTP services for inbound / outbound Internet file transfers associated with UC external AWI interfaces. Depending on customer networking standards, other services such as email may also exist in the DMZ. A primary iGOVERN™ component in the DMZ is an appropriately sized Web Server cluster to provide the presentation layer of Internet-facing UC applications.

Connections to internal application server and database clusters are enabled through controlled configuration of the network firewall rules. We look forward to working with AWI to determine how DMZ capability will be implemented for Internet user access to the new UI system.

Branch Office Components

As shown above, AWI UC solution provides branch office access to system functionality through the AWI enterprise network. Branch office users should have access to UC system functions, as required and permitted by the role-based security features of iGOVERN™. In addition to online, real-time UI system and data access to support constituent services, branch office users should be equipped with local file and print services, as well as access to AWI enterprise or UC project-provided collaboration and productivity tools. These general system features are depicted in the figure above.

Enterprise Network Backbone

Also shown in figure above, locations hosting the various features and functions of an integrated UC solution reside in a variety of locations, internal and external to the AWI, and are connected through an enterprise network. High-traffic interfaces, such as those between application servers and database servers, may be hosted on dedicated switched network segments, to alleviate impact on the enterprise network backbone.

Legacy Mainframe

iGOVERN™ will make use of current mechanism applied for interacting with the AWI legacy mainframe environment for interfaces, functional “back bridging” during transition periods, if necessary, and data conversion to the new system. The assumption made here is that current mechanism is based on RDBMS in FLUID / FLCCID.

Storage Area Network (SAN)

A cutting edge UC solution for AWI may include the implementation (or use of existing) SAN technology. This technical architecture component facilitates enterprise storage management and provisioning, backup and recovery of critical data, and server clustering options that is used in the iGOVERN™ web, application, and database tiers, in accordance with AWI technology standards and strategies.

Imaging & Digitization

iGOVERN™ utilizes ICR and OCR technology to extract document images and data in downstream workflow and online application functions. Leading Image capture and ICR/OCR software iCapture is used to scan documents to extract and index data from forms, and FileNet workflow engine and content Management repository manages the storage of images and the workflow associated with the AWI business processes.

iGOVERN™ Production Environment

The AWI UC solution production environment supports load-balancing and/or clustered web servers, application server and database server tiers to achieve highly reliable and scalable environment. The adaptor based approach allows this solution to work with other third-party Java 2 Enterprise Edition (J2EE) standards-based content management and workflow applications/servers. The architecture supports use of query-intensive business intelligence and reporting services in accordance with AWI requirements for these features. As depicted in the the figure above, the iGOVERN™ Production Environment may be established on a dedicated local area network using modern network switching technology as necessary to meet end user response time requirements, and to mitigate the impact, if any, on existing enterprise network resources.

Enterprise Systems and Network Services

AWI already has existing production enterprise systems and network services deployed. The HCL technical and management team will work closely with AWI IT staff to leverage and/or integrate with any existing enterprise-level deployments as appropriate. As shown in the figure above, these may include systems management services, network management services, fax services, directory services, email and other collaboration services, eCommerce services, and others. Some of these components are already included in the proposal as requested by AWI.

Campus Locations

Campus Location refers to primary, central office UC end-user locations. These locations have full access to all of the UI applications and associated enterprise technology infrastructure required to fully utilize the new system and perform their specific UC-related job functions as depicted in the figure above. As in the case of branch offices, it may be appropriate to outfit campus locations with local resources for file and print services as well as collaboration and productivity infrastructure components.

We look forward to working with AWI to understand the specific requirements for each AWI end-user location relative to the new UC system.

Project Area

This section of the architecture refers to the technology resources associated with executing the UC transformation project. This includes, as appropriate, resources such as project management servers, project web sites and collaboration portals, file and print services, and the infrastructure required to support the UI rapid application development (RAD) process. This area of the technical architecture is vital to enabling a highly productive project team and achieving a timely and efficient system implementation.

iGOVERN™ Non Production Environment

This section of the architecture provides servers used for development, testing, and training purposes as well as system recovery. This includes web servers, application servers, database servers, and any of a wide variety of enterprise servers such as email servers, eCommerce servers, and others that may be useful to emulate for development, testing and training purposes. Using industry standard virtualization technology, the project can minimize the total cost of ownership for the UC infrastructure while implementing the ability to rapidly provision servers, on demand, to meet project development, testing, and training requirements. Virtualization may also

be used in the production configuration, as appropriate, after a thorough analysis of that decision relative to AWI technology standards and enterprise technology strategy.

Benefits of this proposed System Architecture. Also including is a self rating of the extent the current versions of proposed components meets these objectives.

Business Objective # 1	Create flexible, integrated UC applications, information, and business processes for the UC Program in order to create operational efficiencies.
Self Compliance Rating	**100%**
Benefits of UC System	1. The UC AWI solution architecture provides flexible integrated Benefits and Appeals UC solution for operational efficiencies. Claims and Appeals can be filed online, reducing the paperwork and average time in resolving / closing a claim or an appeal. 2. The iGOVERN™ architecture provides an integrated Case flow capability where all claims, determinations related to a particular claim, details about claimant/employer, appeals information and adjudication gets stored and managed at one single place. It allows viewing of entire correspondence history of all correspondences relating to a case because it is attached to the appropriate case automatically. 3. The AWI UC solution uses a centralized database and data elements are maintained and shared across different solution components. Data is not duplicated across multiple databases and data integrity is maintained as well. 4. The Integrated Workflow engine provides user a complete list of all work that is currently assigned to the logged in user. This list is categorized basis on the different business rules like, type of work, status of work. Users' can also get the list of work that is past due or will be due in near future. Similarly all supervisors can also monitor work of all the team members aligned with a particular supervisor. Business rules for categorization are configurable and can be extended at any given point of time.
Business Objective # 2	Provide a consolidated system with user-friendly search criteria to provide internal and external stakeholders, partners, and the general public with easily accessible, secured and —on demand access to claims data
Self Compliance Rating	100%
Benefits of UC System	1. The iGOVERN™ application is fully integrated with an Integrated Voice Response (IVR) system and provides information access through an automated phone system. Reusable business objects (business processes and data) are shared between IVR and online claim/appeal process and this reduces duplication of technology and data. 2. The iGOVERN™ Reporting architecture is built on the open source BIRT reporting tool and the reports can be customized as

	per Agency needs. 3. The solution architecture provides a flexible Claimant Self Service capability for operational efficiencies. Claims/Appeals can be filed/tracked/scheduled online reducing the paperwork and average time in resolving / closing a claim or an appeal. The Self Service is integrated with Benefits and Appeals via a Service layer. 4. The solution allows external users to access information through the Internet. Browser based applications allow users to access information from anywhere, and doesn't require any software installation on client machine. 5. The iGOVERN™ Security framework comprehensive security restricts unauthorized access to functional processes/screens. The Security Framework uses Spring security framework and security can be defined at various level (Page, Button, Menu). 6. The system supports Secured Socket Layer (SSL) protocols, and all the data exchanges secured. Sensitive data within application is encrypted carefully chosen encryption standard. 7. The web application complies to section 508 making it easier to use and more standard driven. 8. The web application supports multiple languages through globalization.
Business Objective # 3	Provide a system that is fully compliant with Federal and State laws and statutes as well as Agency procedures and rules.
Self Compliance Rating	100%
Benefits of UC System	The high compliance of iGOVERN™ application architecture with current State and Federal laws provides opportunity to reduce optimized implementation duration.
Business Objective # 4	Provide a state-of-the-art technology system architecture that will effectively support the dynamic application processes and modifications required because of legislative changes and Agency needs.
Self Compliance Rating	100%
Benefits of UC System	1. The iGOVERN™ application is fully integrated with an Integrated Voice Response (IVR) system and provides information access through an automated phone system. Reusable business objects (business processes and data) are shared between IVR and online claim/appeal process and this reduces duplication of technology and data. The proposed solution will be built on centralized data repository, which assures the data is shared through IVR and online. 2. The iGOVERN™ Application architecture is built on latest technologies and mitigates the risks associated with applications built on outdated technologies. Future software updates (application server, DBMS, etc) can be performed without making any changes to the application, and assure that the platform is up to date with software releases in the market. 3. The iGOVERN™ Architecture inherently scalable due to the tiered nature of the application. Scaling the implementation to handle higher volume of transactions accomplished by scaling the underlying server infrastructure either vertically, by adding

	additional central processing units, memory, and disk space, or horizontally by adding server components to the existing clusters. 4. All the components the system architecture are integrated in such a way that changes in one component can flow through to other component quickly and easily, so legislative or business changes can be implemented with relative ease.

b. Provide a detailed description of the Technical Architecture for the proposed solution. Describe the benefits of this Technical Architecture and how it supports the objectives of the proposed UC solution.

The proposed AWI UC solution uses open standards, and the modern technological standards that one would expect from a state-of-the-art application system. The foundation is robust and stable software architecture that helps achieve the functions for which it has been developed. We leveraged and extended leading industry standard frameworks and concepts to create a solid foundation. We adhered to industry best practices in using a layered architecture. These layers include:

- Presentation Layer (including Web Client)
- Business Logic Layer
- Communication and Integration Layer
- Persistence and Database Layers

Our Solution embodies reusable services and frameworks which serve as the main building blocks for the overall iGOVERN™ system. The main services and frameworks include the following:

- Controller Layer Architecture
- Validation framework
- Communication and Integration Architecture
- Persistence Layer Architecture
- Exception Handling framework
- Application Configuration framework
- Logging framework
- Code Table framework

The basic building blocks or technical components of our Solution are best of the breed and best fit to meet the technical as well as functional requirements of any UC system. Below are the key elements of our solution:

iGOVERN™:

It extends open source frameworks such as the Spring Framework, Hibernate, and utilizes the Model View Control architecture throughout.

J2EE Framework

Spring Framework - Spring is a layered Java/J2EE application framework.

Persistence

Hibernate - is an object-relational mapping (ORM) library for the Java language, providing a framework for mapping an object-oriented domain model to a traditional relational database. Hibernate's primary feature is mapping from Java classes to database tables (and from Java data types to SQL data types). Hibernate also provides data query and retrieval facilities. Hibernate generates the SQL calls and relieves the developer from manual result set handling and object

conversion, keeping the application portable to all SQL databases. Database portability is delivered at very little performance overhead.

Enterprise Service Bus

It applies Web services connectivity and JMS messaging, improving flexibility through the adoption of service-oriented interfaces. Delivers a standards-based connectivity and integration solution that allows you to create and deploy interactions quickly and easily between applications and services, with a reduced number and complexity of interfaces.

Java Messaging Queue

ActiveMQ - an open sourced implementation of JMS 1.1 as part of the J2EE 1.4 specification.

Security

Spring Security (Acegi Security framework) – provides powerful and flexible security solutions for enterprise applications developed using the Spring Framework.

Authentication

CAS (Single Sign-on) - an open source enterprise Single Sign-On solution for web services.

Reporting

BIRT - is an open source Eclipse-based reporting system that integrates with your Java/J2EE application to produce compelling reports

Scheduling

Quartz - a full-featured, open source job scheduling system that can be integrated with, or used alongside, virtually any J2EE or J2SE application.

Application Server

JBoss - a software application server built using open standards such as J2EE, XML, and Web Services. It works with a number of Web servers including Apache HTTP Server, Netscape Enterprise Server, Microsoft Internet Information Services (IIS), HTTP Server .

Database

Microsoft SQL Server - provides centralized data storage for applications.

Correspondence

Thunderhead - provides a complete enterprise solution for the creation and delivery of real-time and high-volume, multi-channel, personalized business communications.

Image/Content Mgmt

IBM FileNet Content Engine - combines powerful document management with ready-to-use workflow and process capabilities to automate and drive your content-related tasks and activities

Workflow Management

IBM FileNet Process Engine - manages workflow among people and systems for content and human-centric processes.

Productivity Reporting

IBM FileNet Process Analyzer (optional) - provides extensible reporting and analytics for business processes.

Data & Image Capture Software

iCapture - Designed to support high-volume and mission critical data capture applications, iCapture™ is an automated data capture system that consists of a series of extensible modules that support the full range of capture functionality suitable for all large government organizations.

FaxServer

RightFax - integrates and automates the flow of a full range of fax, paper and electronic documents and data.

Address Validation

Code1Plus - validates, corrects and standardizes customer address data

Operating System

Windows – iGOVERN™ is built using Java technologies it can run on many different operating systems including Unix.

Batch/Event Framework

Spring Batch - provides reusable functions that are essential in processing large volumes of records, including logging/tracing, transaction management, job processing statistics, job restart, skip, and resource management.

The table below describes the benefits of this Technical Architecture and how it supports the objectives of the proposed UC solution

Business Objective # 1	Create flexible, integrated UC applications, information, and business processes for the UC Program in order to create operational efficiencies.
Self compliance Rating	**100%**
Benefits of UC System	1. The Service-oriented architecture (SOA) allows functions to be exposed in the form of web services for internal and external integration. This makes components of solution loosely coupled. 2. The technical architecture supports real time as well as on demand interfacing with external agencies over a secure protocol. Flexible designs of interfaces result in minimal or no changes to components that reside in the application. 3. The proposed architecture is integrated with carefully chosen COTS software. The Adapter layer integrates iGOVERN™ and third party COTS products. This avoids any changes in the core product if underlying COTS changes. 4. Automated work distribution and prioritization of work increases the productivity of overall system. 5. The system collects all identified affecting factors related to case and injects them in to the rule engine which, in turn, determines close set of possible decisions, applicable penalties, applicable periods, benefit/recovery amount etc. which increases the degree of precision and hence the consistency in decision making across the staff
Business Objective # 2	Provide a consolidated system with user-friendly search criteria to provide internal and external stakeholders, partners, and the general public with easily accessible, secured and —on demand access to claims data
Self compliance Rating	100%
Benefits of UC System	1. The AWI UC architecture comes with an Interactive Voice Response capability which provides another facility to access critical claim and appeals information over the phone. The IVR will invoke the adapters exposed by the iGOVERN™ service layer to get real time information. 2. The architecture is built on Enterprise Service Bus, the integration between different components of solution is through web services, and this avoids the tight integration between applications. The

	same code is reused across solution. Code and Data is easily maintained as code and data is not duplicated. 3. The proposed solution comes with integration BIRT reports using JAVA API, this provides centralized access to reporting. Report can be scheduled or can be generated on real time. The reports provide access to comprehensive data for accurate trend analysis. 4. Integration of Benefits/Appeals with Imaging and workflow using chosen third party components (FileNet and Thunderhead) makes the business process is automated. Images and workflow are generated real time and stored electronically. 5. The flexible security framework is built around role base security models and is LDAP/Active Directory compliant. Authorization and Confidentiality controls what information can be viewed for particular role /user. Security/access to business functions can be edited dynamically, and this doesn't require application restart. External Agency Users can be given access to one or more business functions as needed.
Business Objective # 3	Provide a system that is fully compliant with Federal and State laws and statutes as well as Agency procedures and rules.
Self compliance Rating	100%
Benefits of UC System	1. The proposed architecture is built on Business Rule Engine which minimizes changes to application with any changes in law. 2. In event of application changes to support law changes Component based architecture enables module / fix to be deployed without impacting other area. 3. Any change on Correspondence template can be deployed without the need to restart with Thunderhead Now.
Business Objective # 4	Provide a state-of-the-art technology system architecture that will effectively support the dynamic application processes and modifications required because of legislative changes and Agency needs.
Self compliance Rating	100%
Benefits of UC System	1. The proposed Architecture inherently scalable due to the tiered nature of the application. iGOVERN™ is built on a Component Based Architecture. New functionality can be added or existing functionality can be extended without any impact on existing functionality. 2. The proposed architecture is built on Business Rule Engine and database driven based architecture which enables the changes in application behavior and business scenarios without any downtime for application patches. 3. Part of presentation layer's are implemented in such a way that any changes can be undertaken post deployment without installing a new build which makes it easy to implement any legislative or business changes by the administrator, if needed.

c. From a technical perspective, describe how the proposed solution will satisfy the functional requirements of the proposed UC solution as specified in the System Requirements Matrix (Refer to Attachment Q). As stated before, in order to facilitate the evaluation of responses, responses shall be organized to align with the following major business functions and the related sub-functions as identified in 1.a above: Claims, Appeals, Benefit Payment Control, and Adjudication.

All proposed business functions/modules (Claims, Appeals, Benefit Payment Control, and Adjudication) are built on common framework principles and components which make the overall solution meet the agency needs for automation of Unemployment Compensation.

Architectural Components	Out Of Box Compliance	Description
Enterprise Architecture	100%	The architecture is built on Service Oriented Architecture. This makes the system very flexible and responds more quickly and cost effectively to changing Laws in the future. The Component Based Architecture helps in adding/changing business functions without any impact on their systems. The service/code can be used to invoke certain business functions from inside as well as outside the system (3rd Party system). Centralized code help in easy maintenance of code. As the services are exposed as industry standard language, the system can work with any external system without any code re-engineering.
IVR and Call Center Integration	100%	The AWI UC architecture comes with an Interactive Voice Response capability which provides another facility to access critical claim, history, payments and appeals information over the phone. The IVR will invoke the services exposed by the iGOVERN™ service layer to get real time information. These API calls provide the IVR with data to read back to the caller, as well as accepting data from the IVR to make modifications to database objects. The interface with the call center will open the screen based on the information gathered on phone the phone (SSN).
Scalability	100%	The proposed solution Architecture is inherently scalable due to the tiered nature of the application. Scaling the implementation to handle higher volume of transactions accomplished by scaling the underlying server infrastructure either vertically, by adding additional central processing units, memory, and disk space, or horizontally by adding server components (application server as well as database server) to the existing clusters.
Business Rule Engine (Flexibility)	100%	The proposed architecture is built on Business

		Rule Engine and database driven based architecture which enables the changes in application behavior and business scenarios without any downtime for application.
Data Integrity	100%	The AWI UC solution uses a centralized database and data elements are maintained and shared across different solution components. Data is not duplicated across multiple databases. The data integrity is maintained at both database level and application level. Data encryption and data security allows the system to be safe and free of unauthorized modification and ensuring sensitive personal information not be compromised.
Content Engine	100%	The integrated Content Engine, which primarily uses the chosen COTS, FileNet P8 Platform as a BPM/ECM Engine, answers needs of the rising unemployment, increasing citizens demand for online self services and the overall need to improve UC service delivery across multiple programs. It establishes a Centralized Content Repository, provides automated capture and distribution of Forms/Work Items, and presents a unified way of generating and managing correspondences. Storing notices electronically not only reduces problems associated with storage of notices, it also help in searching previously sent notices.
Workflow Engine	100%	The integrated Workflow engine provides complete automation of business functionality and reduces any manual interference. This ensures timely release of appropriate benefits, consistent resolution of Issues, Claims and Appeals of the unemployed workers. The automated Workflow solution overcomes major roadblocks of traditional systems, such as unavailability of sufficiently experienced staff, risk of inconsistency in decisions due to varied experience of staff, delays in completing the fact finding, under utilization of available staff. This increases productivity, efficiency & consistency within the Agency. **Expedite the work completion:** The Workflow engine helps the staff in prioritizing the allocated work in their Inbox based on the dozens of different criteria like – due date, previous actions, age, work type, current load, deadlines and reminders. This also helps the management in managing the completion of work which might be missing the milestones by either escalating them or re-allocating to other available/more efficient

		staff. **Consistent Decision Making**: A claimant or employer should not suffer because incorrect interpretation of the facts or because of inexperienced staff. The system collects all identified affecting factors related to case and injects them into the rule engine which, in turn, determines a close set of possible decisions, applicable penalties, applicable periods, benefit/recovery amount etc. This increases the degree of precision, and hence the consistency in decision making across the staff. **Productivity**: Automated work distribution ensures the work is handled by most appropriate staff based on availability. The work distribution is configured through the database. The automated escalation engine helps in timely closure of work. This improves productivity.
Interfaces	100%	The proposed solution supports numerous interfaces that are prebuilt in the application.Many of the interfaces are Federal interfaces and the remaining are state and third part interfaces. The Federal Interfaces are available out of the box without need of any customization. The state and the third party interfaces may require some customization. Component based architecture of interfaces assures minimal changes to underlying code as per AWI needs. The Solution provides for enterprise integration layer as the platform to communicate, transfer, transform and transport the data to/from the spaghetti of existing back office systems. The core concept is to isolate the implementation part of the integration that is specific to the target application. It directly uses SOAP Adapters to integrate with the target system providing remote integration functionalities as the Industry standard Web Services. It uses Web Services wrappers using SOAP Adapters to access target applications providing XML APIs for integration purposes.
Address Validation	100%	The Address Validation Framework is built on the top of an integrated third party system to validate the addresses against Group 1 address standards. This helps in address standardization. The web service) validates the correctness of a captured address from different screen in application and validates against the standard address. The data transmission is secured and

		encrypted.
Reporting Engine	100%	The underlying Reporting framework extends open source BIRT reporting software. The system comes with variety of integrated management and Federal reports. Built-in reports present the transactional data in the form of reports and can be used with little or no customization. Generated reports can be saved in content engine for historical purposes.
Security Framework	100%	The Role-based security framework ensures secured access to functional screens for user. The security framework is very flexible and roles/access is configured through database table. The security framework supports Private Key Encryption support including encryption of data, digital signatures, digital certificates, Secure Socket Layer (SSL), Support for single sign-on.
Automated Claims Processing	100%	iGOVERN™ utilizes ICR and OCR technology to extract document images from claim form and data in downstream workflow and online application functions. Leading Image capture and ICR/OCR software. iCapture is used to scan documents to extract and index data from forms, and FileNet workflow engine and content Management repository manages the storage of images and the workflow associated with the AWI business processes. Another way to process claims automatically is through Fax. Claimant completes claim form and faxes to AWI-provided number. UI Solution RightFax Business Server receives the fax and sends it to iCapture for data capture (i.e., Intelligent Character Recognition/Optical Character Recognition [ICR/OCR]) processing. iCapture data correction is used to “clean up” the faxed data as appropriate. iCapture reads the data off the faxed document and stores it in temporary storage. iCapture stores the faxed image in the temporary image cache. iCapture performs indexing of the document creating a unique document ID that can be used by downstream applications to access this document from permanent storage.

d. From a technical perspective, describe how the proposed solution will satisfy the non-functional requirements of the proposed UC solution as specified in the System Requirements Matrix (Refer to Attachment Q).

Non-functional requirements	Out Of Box Compliance	Description
Account Maintenance	90%	The system admin has the facility to create new user accounts/roles and associate these to each other and these can be changed as desired. This gives Administrator the facility to do account maintenance as per the agency needs. External users can create account through web based application.
Correspondence	80%	The proposed architecture has an integrated COTS product for generation of template and notices. Once state-specific templates are generated with Thunderhead and deployed, system will generate notices with combination of dynamic data from application and static text in template. These templates can be edited without any impact on application. There is support to local as well as central print. There is integrated search for searching correspondence based on keyword.
Database Architecture	80%	The proposed architecture is built on a centralized relational database. Referential integrity / consistency are maintained with application as well as database level edits. A built-in alert system sends notifications to the Administrator group if the data storage has reached pre defined limit set.
Development And Support Services	75%	The Component based Architecture allows functionality be added without impact on existing functionality. Monitoring tools provide capability to monitor performance of all components, and alerts the System Administrator Group when the performance or storage thresholds are reached. This can be configured as per AWI needs. The proposed Architecture allows logging of errors messages for components of system like Application, Servers, and FileNet. The logs are categorized into different levels for tracking of issues. Distributed Help framework enables system to create and maintain help independently.
Disaster Recovery	100%	The proposed Architecture has capability to for full and incremental backups and recovery from these backups in case of disaster. The production environment can be cloned in the off-site location, which can be used in the case of failover/disaster

Events And Scheduling	50%	The Scheduling framework has capability to schedule and maintain events and appointments. Documents can be attached to events. A Tags-based approach allows this component to be integrated with any piece or component.
Imaging	85%	iCapture and RightFax meet the scanning and Fax needs proposed solution. Adapters have been written for their integration with iGOVERN™. The images metadata can be indexed along with meta data
Interfaces And Interoperability	90%	iGOVERN™ supports a broad range of standard interfaces and their business processing logic, which can be used without any code reengineering. The system maintains external system information in the database and can be configured as per needs. The interface with external system is built on Enterprise Service Bus and this reduces coupling between the AWI system and external systems. The file formats and stored in XML configuration files, and the code doesn't require any change if file formats change.
Notes	80%	The Notes Framework has built in notes functionality. All applications use common notes functionality for maintaining notes.
Record Management and Audit	80%	The Audit Trail framework provides history of transactional information. This information can be used in reporting and in statistical analysis.
Reporting	50%	The Reporting framework uses the open source BIRT reporting tool to build reports. The reports can be generated on demand from the Core application or can be scheduled. The generated report can be saved in the content management repository for future use.
Search And Navigation	50%	The proposed architecture has in built searches (wild card, full text) for various business operations like claims, claimants, correspondence, workflow etc. Once searched, user to navigate to business screen without entering search data again. The pagination component has been integrated in all screens that list multiple records. The Menu Framework provides role-based Menus and Menu's can be dynamically added.
Security	70%	The iGOVERN™ Security framework is scalable and robust. Comprehensive security restricts unauthorized access to functional processes/screens. New roles/access to applications can be modified without application restart. Menu Level, Page Level and Button Level security can be configured and defined via Security

		Admin Screen. Existing or new users in the system can be added to existing roles/groups and the user added to a group inherits the entire privileges. The system supports Secured Socket Layer (SSL) protocols, and all the data exchanges are secured. Sensitive data within application is encrypted. Database Level security can be defined both at database level and table level. This restricts any unauthorized access to data within an application. The navigation between applications is seamless and Security framework single sign on allows user to navigate through applications without keying in user credentials every time.
System Architecture	85%	The iGOVERN™ Architecture is inherently scalable due to the tiered nature of the application. Scaling the implementation to handle more transactions can be accomplished by scaling the underlying server infrastructure, either vertically by adding additional central processing units, memory, and disk space, or horizontally by adding server components to the existing clusters. Normally, database clusters are scaled vertically while the presentation and business logic tiers (web servers and app servers) are scaled horizontally. In addition, the clustering technology proposed by HCL for the iGOVERN™ infrastructure will ensure that transaction loads are dynamically balanced across available servers so that expansion of the infrastructure will only be necessary when agreed upon server capacity limits are approached. This ensures high availability and excellent end-user response time. The servers can be added to clusters without making any code re-engineering to ensure the application work with projected user sessions at any time. The proposed System will be deployed in High Availability mode. The production architecture has sufficient redundant hardware and system (application & underlying components) instances to keep system alive in case failures of one or more components of the system. All critical system functions are being designed around "Fail Safe". The system uses a variety management tools to enable the necessary monitoring and control functions to ensure proper operations.
Usability	50%	iGOVERN™ applications provide capability to present screens in different languages (English/Spanish). The iGOVERN™ application can be extended to present screens in any language. The iGOVERN™ architecture provides an in built case management framework where in all claims,

		determinations related to a particular claim, details about claimant/employer, appeals information, adjudication gets stored at one single place. This framework has the capability to view the entire correspondence history of all correspondences in a case as they get attached to a particular case automatically and ability to maintain workflow. Edits are performed at all three layers (presentation, business and data) levels in proposed solution to assure clean data is stored and meaningful error messages are returned to end user in case of error.
Workflow	**90%**	The integrated workflow engine allows creation of Work Items with associated business events. The screen utilizes adapters to search, create, view status, add notes or take any other action (escalation, assign and close) on particular Work Item. The notices can be associated with a Work Item.

e. Describe the reliability, availability, and disaster recovery capabilities of the proposed solution.

Reliability & Availability of the proposed solution:

The proposed solution recommends various components that detects and notifies support staff when there are issues with the operation of the system. Critical to the successful operation of a high- availability system is immediate knowledge about the current state of all system hardware and software components. Making such information available is the provenance of a systems management framework. To meet such needs without excessive license expenditure, the solution utilizes a management framework comprising of three components:

- **IBM Tivoli Composite Application Manager**

  IBM Tivoli Composite Application Manager (ITCAM) for Application enables users to view the health of Application Servers and Web applications. They can then drill down to diagnostic information for specific application requests to identify the root cause of problems. IBM Tivoli Composite Application Manager provides a consistent and comprehensive monitoring and alerting capability with a common infrastructure. It provides proactive monitoring, management, capacity planning and historical analysis for application and infrastructure. It also enables viewing all transactions that are "in-flight"to uncover the root cause of bottlenecks and perform detailed memory analysis .

- **MS SQL Server**

  MS SQL Server can be deployed in High availability and reliability. SQL server comes with several different high availability database solutions like failover clustering and database mirroring.

  Failover clustering: SQL Server Failover clustering provides high-availability support for an entire instance of SQL Server. An application can connect to the failover cluster instance by referencing the failover cluster instance name. The application does not have to know which node hosts the failover cluster instance.

  Database mirroring is primarily a software solution to increase database availability by supporting almost instantaneous failover. Database mirroring can be used to maintain a

single standby database, or mirror database, for a corresponding production database that is referred to as the principal database.

- **SolarWinds Orion Network Monitor (Orion)**

  SolarWinds Orion is a comprehensive web-based, fault-management, availability and bandwidth performance management application that allows users to view the real-time statistics and availability of their network directly from the web. It will monitor and collect data from routers, switches, servers, and any other SNMP-enabled devices.

  These SolarWinds products will reside on a dedicated workstation;

  - **SolarWinds Orion** – A comprehensive web-enabled fault, bandwidth, and performance management platform, providing broad network visibility and monitoring that is both reasonably priced, remarkably easy to use, and yet scales to the size of almost any corporate network. Real-time views of network performance and availability statistics (as well as detailed monitoring, collection, and analysis of data from routers, switches, servers, and any other SNMP-enabled devices) provide users with a comprehensive look at their network's health.
  - **Orion Application Monitor** – Extends the monitoring capabilities of Orion to applications and processes on servers.
  - **SolarWinds Engineers Toolset** – Contains software applications ranging from configuration management, bandwidth, and network performance monitoring to discovery and fault-management tools.

The combination of these three consoles provides AWI with a complete, state-of-the-art management and monitoring infrastructure.

Disaster recovery capabilities of the proposed solution:

The AWI UC Solution has the capability for recovery in case of any disaster. The proposed solution will be deployed in High Availability mode. In the case of a Disaster, the system will be ready to switch to another offsite location (Recovery Site) from primary site. This can be achieved by failover clustering of Application as well as Data Servers. This doesn't require any kind of deployment during disaster as long as the Recovery Site is kept in sync with the Primary site.

As proposed solution has centralized database. This makes regular backup of data absolutely critical. Backup can be scheduled or can be taken on demand. The backup of the data can be stored in a remote secure offsite, thus enabling the fast recovery of data in the event of a natural disaster. The health of recovery from disaster depends on the health of the data that has been included in Backup.

f. If proposing Commercial Off-the-Shelf (COTS) products within the proposed solution, describe the proposed approach and strategy of handling necessary customizations to the COTS products to support the requirements without compromising the architecture or maintenance of the products. Respondent(s) proposing a solution without COTS product(s) shall respond to this requirement as —Not Applicable

AWI UC solution comes bundled with many COTS products which are easy to integrate. iGOVERN™ seamlessly works with carefully chosen COTS products via an Adapter layer pattern as depicted in Figure 6.3.1. The Adapter layer has been built upon the Adapter/Driver pattern. This approach also provides the ability of choosing the latest products and services without requiring changes in core business processing and the user interface layer. This adapter exposes the ability for interacting with underlying enterprise resources using plain java objects. Every adapter has a specific driver which executes the resource specific calls using resource native or

generic, J2EE API's. These components use J2EE Standard API's (Like JDBC, JNDI etc) or JSRs.

Listed below are the COTS that are integrated with AWI UC solution:

Commercial Off-the-Shelf products	Customization Requirement	Description
IBM FileNet P8	No Customization Required	Content Repository Integration: The Adapter for interacting with the Content Repository provides an interface to create, retrieve, update, delete and search contents based on the Index information. These interfaces accept plain java Objects, encapsulating Content (in form of a byte array) and its index information. The interface also provides ability of performing operations around the relationship of Content and Work items, which reside in other Servers. The FileNet P8 Content Engine is our chosen Content Repository, and hence a specific adapter for FileNet CE is made available "out-of-box" to transform all generic Java calls to FileNet CE Specific calls. This adapter uses FileNet Java CE API's. Though FileNet Content Engine provides storage of contents and index information in databases viz Oracle, MS Sql Server etc., the use of databases is being kept limited to storing the index information only. All contents get stored in Fixed Content Length Devices. Workflow Server Integration: FileNet P8 Process Engine is our chosen Workflow Server and hence a specific adapter for FileNet PE is being developed to transform all generic Java calls to FileNet PE Specific calls. This adapter uses Java PE API's. The configuration information of the Process Engine Server is defined outside the driver. The Adapter for interacting with Workflow Server exposes the interfaces to launch, displace (or dispatch), update and search for the Work items. The Process Map modelling of the business process flow and its relationship with Content gets defined and managed inside the Process Engine. This allows upgrading the Process with minimal changes in application in due course of time.
ThunderHead Now	No Customization Required	Thunderhead is our chosen product to provide the Document Generation and Distribution capabilities, and keeps the Application completely isolated from the concern of generating any kind of content. Thunderhead maintains the content elements, templates, validation rules and rendering rules, and enables the ability of upgrading the content generation rules without requiring changes in the Application. Thunderhead Server has

		Printing as a distribution channel (it supports several other distribution channels as well), and the interface enables the Print capabilities of Thunderhead. The Adapter for interacting with the Document Generation and Distribution Server exposes interface to generate contents of the desired type i.e. PDF, TIFF etc. The interface also exposes the content distribution capabilities of the underlying product. The interaction with any underlying Content Generation and Distribution Product has been built in Java Objects and XML Documents. In this particular case the Driver has been developed using Thunderhead Java API's (which uses underlying Web Services Calls).
RightFax	No Customization Required	RightFax Server is our chosen product, which manages both incoming and outgoing Faxes. The Adapter for interacting with the Fax Server exposes interface to sending Fax. For Incoming Faxes, it connects to iCapture. The Driver for the Fax adapter uses combination of Java print API's, the RightFax Printer Driver and the RightFax Fax Control Language (FCL).
Code 1 Plus (Address Validation)	No Customization Required	iGOVERN™ Address Validation Framework provides set of APIs to verify addresses submitted by the application for address standardization. The Business Service API determines if the entered address is valid address or not. If valid address is not entered the application shows screen with suggested addresses based on the address entered on the user's screen. The integration of address validation within application prevents user from entering an incorrect address.

g. Describe the external interface strategy for the proposed solution.

The proposed solution supports numerous interfaces that are prebuilt in the application.Many of the interfaces are Federal interfaces and the remaining are state and third part interfaces. The Federal Interfaces are available out of the box without need of any customization. The state and the third party interfaces may require some customization. Component based architecture of interfaces assures minimal changes to underlying code as per AWI needs.

Various open standard technologies, i.e., Web Services, Messaging, direct database connection, etc. are supported to allow the iGOVERN™ application to interoperate with virtually any external system. It contains modules that support integration with external systems through various channels and technologies. Through this layer, iGOVERN™ business components in the middle tier can be exposed, as well as make calls to external systems.

The Solution provides for enterprise integration layer as the platform to communicate, transfer, transform and transport the data to/from the spaghetti of existing back office systems. The core concept is to isolate the implementation part of the integration that is specific to the target application. It directly uses SOAP Adapters to integrate with the target system providing remote

integration functionalities as the Industry standard Web Services. It uses Web Services wrappers using SOAP Adapters to access target applications providing XML APIs for integration purposes.

The solution also comes with various tools to help develop interfaces with open standard technologies. For example, to expose an application business component on the middle tier to an external system as a Web Services provider, an interface for publishing a functionality of a business component will be deployed in this layer. The Web Services module will automatically generate public interface in the open standard Web Services Definition Language (WSDL). In addition, the proposed solution also provides support for file-based data exchange between the application and external systems.

h. Provide a detailed list of hardware required for the proposed UC solution. If the hardware listed is COTS or Proprietary, the item must be identified as such. The response, at a minimum, must include descriptions and configurations for the following (if proposed):- Servers, Workstations, Storage, UPS, Printers and Peripheral Equipment, Network, and Other Required Hardware for the proposed UC Solution.

Please refer to Appendix 10.4.1 for the Bill of Material of the hardware required for proposed solution.

i. Provide a detailed list of the software required for the proposed UC solution. If the software listed is COTS or Proprietary, the item must be identified as such. The response, at a minimum, must include descriptions for the following (if proposed): Proposed Application Software, Operating System Software (for both Servers and Workstations), Network Software, Network Management Software, Data Management Software, System Software Tools, Development Tools, Security And Controls Software, Version Control Software, Business Rule Management Software, and Other Required Software for the Proposed Solution.

Please refer to Appendix 10.4.2 for the Bill of Material of the software required for proposed solution.

6.4 Warranty, Maintenance and Operations

a. Describe the proposed approach for providing warranty, maintenance and operations services in support of the system. Refer to Section D, Exhibit 1, 12.0, System Support Services.

AWI requires a phased implementation approach. As each phase is implemented, HCL will provide System Maintenance and Operations support until the end of the contract term. HCL uses its standard approach for providing maintenance and operations support function, which ensures that optimal services are available to users throughout the tenure. It starts with creating a Maintenance and Operations Support Plan, which details out each and every activity to be carried out during this phase as well as SLAs supported.

Warranty support will be started when the solution is accepted by the Agency, unless otherwise agreed.

Post implementation support would include:

- 365 day warranty administration following system implementation in production
- Continued system maintenance and ongoing operations support till the end of the contract term

- Knowledge transfer to AWI staff at the expiry of Maintenance term

The post implementation support services landscape as envisioned by HCL is given in the figure below.

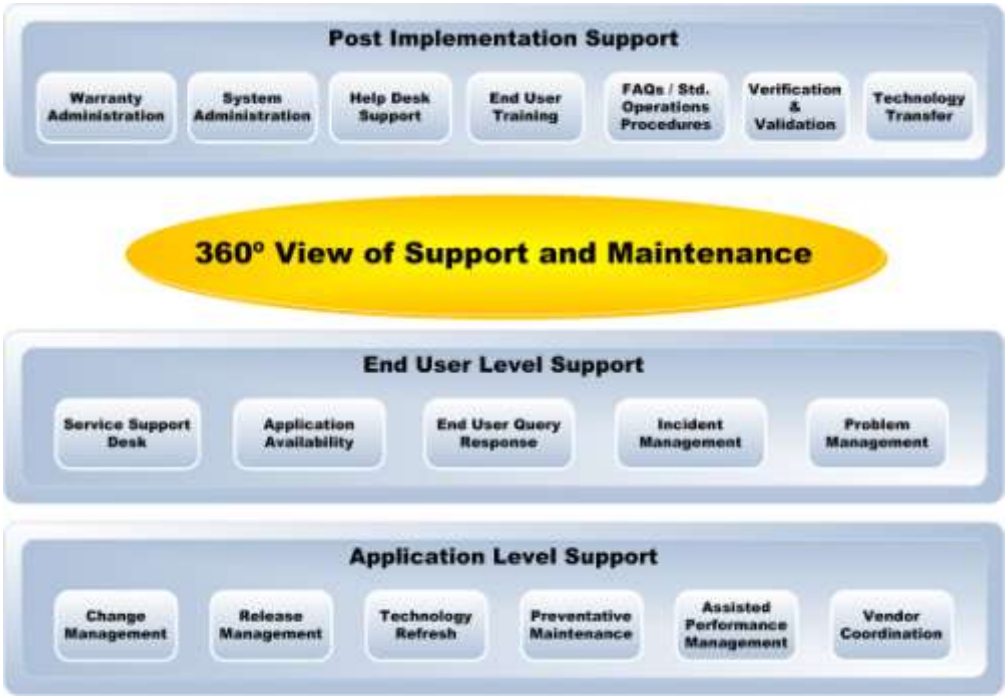


Figure: Post Implementation Support Services Landscape

HCL proposes to setup an offsite support center which will provide Helpdesk as well as solution support services. The helpdesk will be providing Tier 1 support for solution specific issues, and it is assumed that only AWI UC solution specific calls will land on this helpdesk after the initial triaging has been done. In case any calls are erroneously routed to the HCL helpdesk, these will be routed back without logging an issue. All the valid calls will be logged into our issue management system and passed on to Tier 2 support for evaluation and analysis. For the calls requiring any third party support, helpdesk will coordinate with the third parties so that an effective solution can be provided to AWI. If any specific issue requires onsite visit of a support engineer, that will be facilitated on an as needed basis.

Monthly operation reports will be submitted to AWI, including a support log as well as any updates that were executed. The scope and details of the proposed services along with the organization and processes necessary to deliver these services are described separately.

b. Describe the warranty support and maintenance that will be provided for the proposed solution. Refer to Section D, Exhibit 1, 12.1, Maintenance and Operations, and Section D, Exhibit 1, 12.2, Warranty Support.

Warranty Services

HCL will warrant all software products delivered for the proposed solution for a 'warranty period' following AWI UC system implementation. The proposed warranty services are intended to address production incidents related to the AWI UC solution's components configured and

customized, and additional software products specifically developed by HCL for delivery of the proposed solution.

Warranty Start Date

The warranty "start date" for software products delivered for the proposed solution is identified as the date of the proposed solution commissioning in AWI production environment, or, date of issuance of the proposed solution's Acceptance Note by authorized AWI personnel, whichever is earlier.

AWI shall issue Acceptance Note for a 'software product' to HCL within 1 week of successful demonstration of fulfillment of Mandatory Requirements set forth in the Statement of Work/Contractual Agreement between HCL and AWI for delivery of a 'software product'.

Warranty Period

The Warranty period will become effective from the warranty "start date" for a period of 365 calendar days.

Technical Support Access

HCL will provide for phone access to its Helpdesk through the duration of warranty period. The phone access will be available between 7:00 AM. to 9:00 PM Eastern Time, Monday through Friday, excluding state holidays.

Software Updates

Software updates for software products released by HCL will be made available to AWI at agreed upon intervals. The upgrades will involve software product modules delivered for the proposed solution and will include bug fixes of incidents reported by AWI user group or discovered by HCL. All incidents, whether reported by an AWI user or discovered by a HCL will be recorded and processed through the Helpdesk in order to triage the incident and to maintain a consolidated database of all incidents from initiation of production. HCL's proprietary PMSmart system can be used for incident tracking during the warranty period. All reported incidents in the software products delivered will be analyzed and classified based on impact and urgency classifications to determine and assign appropriate priority classification for resolution. The analysis will involve investigation and troubleshooting to establish the root cause as well as any ancillary or contingent causes or effects. Software product problems associated with Priority 1 and Priority 2 incidents will be resolved and released as patch updates. The response and repair time service level agreements in effect for Maintenance term will also prevail during warranty period.

Software updates for fixes released after 365-day warranty period for incidents reported by AWI and acknowledged by Application Support Desk within the warranty period, will be available as patch upgrades. Warranty does not include service requests for software product customization or enhancement. Production environment deployment of the patch updates and product upgrades will be coordinated with AWI through the provisions of the maintenance schedule agreed and rolled out by HCL and AWI.

Warranty Administration

HCL endeavours to utilize multi-tier Support Service Desk structure for incidents reported during warranty period as well. The intent is to ensure that warranty repairs, if required for issue resolution are performed by qualified HCL Technical Support team.

Warranty Expiration

At the expiry of warranty period, a report will be produced to document pending incident/defect resolution activities, if any, that will progress into maintenance term.

Maintenance and Support Services

HCL will provide maintenance and support for the AWI UC system till the end of contract term. This section describes the scope of these services, including maintenance process, principal period of maintenance and SLAs. This will serve as the basis for a formal maintenance agreement between HCL and AWI.

In Scope

The following services will be included as part of support and maintenance services:

1. All activities required to operate the proposed UC solution, such as:
   - Operation Support
   - System Administration
   - Database Administration
   - Problem Troubleshooting and Coordination
   - Preventive Maintenance and Repair
   - Help Desk Services (Tier 1 for the Agency and Tier 2 for all other users).
2. Maintenance of the entire system including equipment or services provided by a sub-contractor.
3. Prepare operations and maintenance deliverables.
4. Revise deliverables as a result of the review and approval process.
5. Correct reported deviations to approved designs in the proposed UC solution including all levels of retesting and making all the corresponding documentation changes.
6. Lead the prioritization of maintenance updates.
7. Develop, test and install maintenance updates.
8. Evaluate impact of software upgrades on the proposed UC solution.
9. Keep all software licenses current and active.
10. Provide hardware preventative maintenance.
11. Provide maintenance of COTS software packages.
12. Provide help desk support.
13. Provide on-site support (if required).

Out of Scope

The proposed Support and Maintenance services do not include the following services:

- Resolution of any issues/defects in the proposed solution's system software or hardware procured by AWI or AWI's infrastructure, and which are not provided by the HCL as part of the proposed solution
- Provision of any enhancement/customization in the absence of approved Change Request
- Provision of any enhancement/customization which violates design principles and application architecture of the software products
- Development of any new function/feature in the AWI's existing application landscape
- Cleaning of data in any of the existing systems of AWI

- Migration of any legacy data
- Primary ownership for performance monitoring for configuration and tuning
- AMC of the solution is optional and not included in the scope of maintenance

Description of Services

HCL will provide a multi-tiered Support with 3 tiers or levels. A description of each level along with the escalation strategy is given below.

Tier 1: Helpdesk

- HCL will provide Tier 1 Helpdesk services as the first line of support for any issues encountered with the usage of software products delivered for the proposed solution. This help desk will be available for the AWI helpdesk to log solution specific issues. Any issues outside the solution boundary are expected to be triaged by the AWI helpdesk.
- HCL Helpdesk will be the First point of contact (FPoC) for AWI Helpdesk for resolution of all end user queries and incidents raised for the delivered system's post production commissioning. Helpdesk will in turn perform triage and will make use of the FAQs and Standard Operational and Procedures Manuals available to them to resolve straightforward issues, end user queries and suggest workarounds for the known issues and pass the rest onto Tier 2 or Tier 3 support.
- HCL will provide dedicated phone-numbers for helpdesk support and e-mail IDs to facilitate phone and email based issue lodging and query resolution for AWI. The preferred way for issue and incident management would be through our web based tool PM Smart.

Tier 2: Application Support

- Tier 2 Application Support Desk services will involve user support, user management, user training and system configuration, setup and data correction for issues which might impact the functioning of the proposed solution.
- The Application Support Desk will handle escalations from Tier 1 and will try to find the solution to a customer's problem either on their own or using resources at their disposal i.e. escalate to Tier 3.
- If the issue is identified to be due to the system software, hardware procured for AWI for the proposed solution, AWI's infrastructure or any 3rd party solution component, the Application Support Desk will report the issue with the concerned hardware, software supplier or other 3rd party supplier and co-ordinate the resolution and availability of the fix.

Tier 3: Engineering Support

HCL will provide Engineering Support including diagnosis and fixing of issues reported on the software products by AWI personnel and business user groups; enhancements to the existing code subject to availability of an approved Change Request; creating and testing patches;

updating system documentation; and/or refer back any issues attributed to AWI procured software, systems, equipments from other vendors and service providers other than HCL, to the AWI helpdesk.

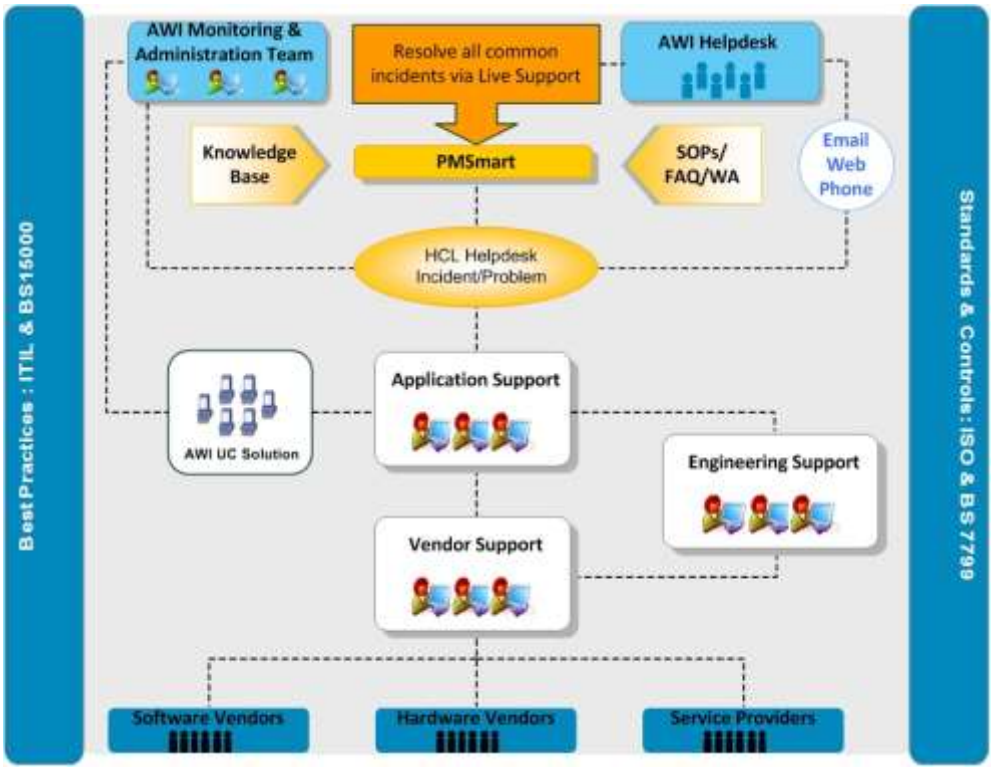


Figure: Support Model

Principal Period of Maintenance

The Principle Period of Maintenance for Helpdesk, Application Support, Engineering Support and Vendor support will be normal business hours (Monday through Friday, 7:00 AM. to 9:00 PM Eastern Time) except state holidays.

Support Pre-requisites

- AWI would need to provide remote login facilities for the designated HCL Service Desk staff to AWI network
- AWI would provide workspace etc. to support engineers while they are visiting AWI's facility for support and maintenance purposes. AWI would also provide them all infrastructure and access to all production systems, network and other applications which are directly/indirectly required to work with the proposed solution.
- AWI would promptly make their IT resources available in case any interrelated issue requires their involvement during the issue resolution process.

Problem Classification and Prioritization

Incidents identified as problems need to be classified into formal levels that will assist in identifying ownership, matching future incidents for obtaining proper solutions, known errors or workarounds

and for identifying proper Tier 2, or 3 support situations. All problems needs to be classified based on Impact, Urgency and Priority.

Table: Severity Definition

Level	Category	Description
1	Critical	Production use of the supported programs is stopped or so severely impacted that AWI cannot reasonably continue work. System experiences a complete loss of service.
2	Major	System experiences a severe loss of service. Important features are unavailable with no acceptable workaround; however, operations can continue in a restricted fashion.
3	Minor	System experiences a minor loss of service and a non-critical function/feature of the system is not working
4	Trivial	Issue affects a user or users on a minimal level. The issue does not result in any stoppage of work and may be cosmetic in nature.

Service Level Agreement

The Service Level Agreement (SLA) for Application Support, applicable during the principle period of maintenance is provided below.

For clarity sake, a "Response" is defined as the following minimum information:

- Acknowledgement that the fault and all related information has been received
- Acknowledgement that the fault is being actively investigated

Resolution will be considered applied, once a fix has been deployed on QA environment or a workaround has been provided to continue the operations.

Table: Application Support Service Level Agreement

Severity Level	Service Level Agreement (SLA)	
	Call Response	Mean Time to Repair (MTTR)
1	2 hours	18 hours
2	4 hours	48 hours
3	8 hours	72 hours
4	16 hours	Next Upgrade/To be Scheduled

c. Describe the skill sets, training, and technologies needed to for Agency staff to maintain the proposed UC solution.

In order to maintain the complete AWI UC solution, the agency staff will need to learn not only the administrative skills but programming skills listed below as well. A detailed technology stack is explained in the technical solution.

Technology Area	Description/Usage
J2EE Framework	Spring Framework.
Persistence	Hibernate, which is an object-relational mapping (ORM) library
Enterprise Service Bus	It applies Web services connectivity and JMS messaging
Java Messaging Queue	ActiveMQ - an open sourced implementation of JMS 1.1 as part of the J2EE 1.4 specification.
Security	Spring Security (Acegi).
Authentication	CAS (Single Sign-on)
Reporting	BIRT - is an open source Eclipse-based reporting system
Scheduling	Quartz - a full-featured, open source job scheduling system
Application Server	JBoss
Database	Microsoft SQL Server
Correspondence	Thunderhead
Image/Content Mgmt	IBM FileNet Content Engine
Workflow Management	IBM FileNet Process Engine
Productivity Reporting	IBM FileNet Process Analyzer
Data Capture Software	iCapture
FaxServer	RightFax
Address Validation	Code1Plus
Storage	EMC Centera
Operating System	Windows 2003/Unix
Batch/Event Framework	Spring Batch

d. Detail the proposed approach for transferring the solution to the Agency. Refer to Section D, Exhibit 1, and 12.3 Operations Transition.

Knowledge Transfer and Transition

HCL understands that it is the supplier's responsibility to impart sufficient understanding, knowledge and skills to enable AWI staff to maintain the system upon the expiry of warranty and the subsequent maintenance term. HCL recommends a focused approach to maintain continuity of knowledgeable staff and processes from the initiation of the project, with seamless transitions through all phases of the implementation, progressing into warranty and support and maintenance.

Knowledge transfer activities will be performed throughout the entire life cycle of the AWI project. We will continually provide of the necessary knowledge to allow AWI technical and functional resources to quickly become empowered, and to assume responsibility for ongoing

operations upon system transfer. The ongoing operations and maintenance transition plan outlining all activities, responsibilities and timelines will be submitted for joint review and agreement with AWI. The plan will map each knowledge transfer point identified for user and technical support.

Knowledge Transfer and Transition Plan

HCL will develop a Knowledge Transfer and Transition Plan at the time of project initiation and planning. This plan will contain specific details outlining the participants, essential technical and functional skills, and the scope of the knowledge transfer and transition activities. HCL would also recommend some pre-requisites for the knowledge transfer and transition. For example, specific technology training for AWI staff relating to the UC architecture.

The plan will map each knowledge transfer point identified for user and technical support. The plan will establish the following:

i. Transition planning coordination meetings between the AWI and HCL

ii. Necessary staffing types and levels to assume AWI responsibilities

iii. Final inventory listing of delivered software products, system hardware and software, its current version, configuration, and maintenance status

iv. User/operator manuals which were delivered with the third-party software or hardware

v. Status of all unresolved Helpdesk and application support issues

vi. Schedule for review of system documentation, both technical and functional, to determine that it is current and reflective of the deployed system in its present version.

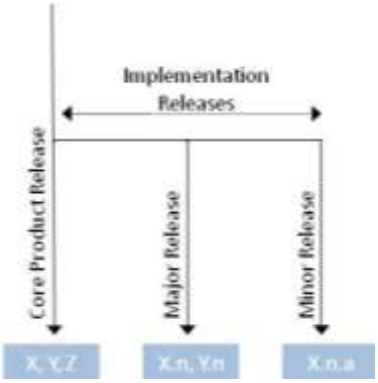
The System Knowledge Transfer Plan will become a component of the Transition Plan

Knowledge Transfer Approach

The approach aims to facilitate maximizing knowledge of the system, to the users, and all the stakeholders. The enhanced knowledge thus gained is considered invaluable in gaining efficiencies and trust moving forward into maintenance and operations. This approach will also prepare AWI to assume maintenance and support responsibilities for the deployed system, should these activities not be extended to be performed on a contractual basis by HCL at the end contract term.

The illustration below presents overall life cycle of knowledge transfer absorbed in the HCL approach. HCL will be acquiring knowledge throughout the duration of the current processes from AWI SMEs and users in order to address stakeholder issues in the new system. HCL will also be transferring knowledge back to AWI staff so that they are in a position to support the system and other users once the system is in production. This section will focus on knowledge transfer and transition from HCL to AWI staff.

e. Describe the proposed approach to handling version upgrades during implementation.



HCL follows a well defined Configuration Management Plan for the iGOVERN™ suite. This defines the version upgrade approach that is employed for the product suite, as briefly explained below:

Core Product Release Version

At the inception of the project, HCL would deliver the latest version of its base solution to AWI. HCL would create a branch for AWI implementation in its configuration management system and a corresponding CM practice shall also be applied in the AWI configuration environment.

Typically HCL refreshes the version of the base solution, when any of the following changes is undertaken: -

- Technology stack is changed
- New platform is supported
- Architectural principles and major design considerations change, or
- New domain / functional area is introduced

Major Release Version

By definition, HCL delivers a major release whenever the solution undergoes key changes such as:

- Introduction of a new feature or module
- Major enhancements
- Major updates and/or fixes to any given module

As per iGOVERN™ versioning policy, a major release index is signified by the 1st decimal digit of the Version Number

- E.g. If X.n is the current version of iGOVERN™ solution, “X” denotes the base product version and “n” denotes the value of the major version index deployed for implementation

With regards to the UC solution, HCL would provide AWI with a major version, every time a new iteration or phase is completed.

Minor Release Version

By definition, HCL delivers a minor release whenever the solution undergoes key changes such as: -

- Small enhancements for a particular module
- Set of defect fixes for any module
- Hot-fixes, patches

This type of release is signified by the 2nd decimal digit of the Version Number

- E.g. If X.n.a is the current version of iGOVERN™ solution, "X" denotes the base product version, "n" denotes the major version index and "a" denotes the index of a minor version deployed for implementation.

With regards to the proposed UC solution, HCL would provide AWI with a minor version every time a set of defects is fixed, a patch/hot-fix needs to be released or any small enhancements are performed as part of maintenance & support of the solution.

Maintenance

As part of maintenance & support, HCL would provide support for only the "current" release under implementation. That is, once any release/version is rolled-out into production and AWI provides the implementation sign-off to HCL team, HCL's maintenance & support team would switch to "latest / current" version and any older versions will be archived.

Exception: Periods of Transition

Based on the implementation plan agreed between HCL and AWI, if any version is currently "Live" and HCL is in the "Deployment" process of the next release, then HCL will provide active support for both the versions.

E.g. If version 4.1 is currently "Live" with AWI and version 4.2 is under pilot, HCL will provide support for both 4.1 and 4.2 until 4.2's implementation is signed-off; after which the support will be available only for 4.2.

6.5 Value Added Services - Innovative Ideas

HCL has identified a number of options that will assist the Agency in achieving project success. We describe the following options for AWI in the section below:

- Option 1: Integrated Tax System
- Option 2: Extended Enhancement and Maintenance Support
- Option 3: Extended Technical Environment Support
- Option 4: Non-Hosted Call Center
- Option 5: iGOVERN™ UI Upgrades and Maintenance

Option 1: Integrated Tax System

HCL understands that AWI in combination with the Department of Revenue has recently implemented a UI Tax system. Should AWI have need to replace or augment any of the functions implemented at the Department of Revenue, HCL has a completely integrated UI tax solution as part of our iGOVERN™ platform. Listed below are the high-level functional areas contained within our tax system. The functional areas below can be offered as an entire integrated system or can be implemented as separate modules:

- Employer Registration and Maintenance
- Experience Rating
- Predecessor and Successor Functions
- Contribution Reporting and Filing
- Field Audit
- Collections and Enforcement
- Bankruptcy Processing

- Reporting
- Complete Employer Self-Service

Option 2 – Extended Enhancement & Maintenance Support

Once the AWI UI Benefits system is in production and the Warranty/Support period has expired, AWI staff will be responsible for support of the application. These technical staff will be new to the maintenance of the application, and similar to the business staff may be slower to complete new tasks due to unfamiliarity with the new system. Additionally, during the project there will be a cut-off point for enhancements, in order to support completion of the application development effort. This may result in a larger than normal workload for staff already overwhelmed with new responsibilities.

In order to assist AWI in the enhancement and maintenance of their new UI Benefits system, HCL offers AWI the option to provide a combination of local and onsite support. HCL's support team will consist of a business analyst and two technical resources. These support staff will be housed in HCL's Cary North Carolina UI Center of Excellence facility, and will be able to travel to the AWI location for on-site support when face-to-face meetings are necessary.

HCL proposes a 3 year extended support agreement, using a team of three resources. Additional staff and years can be provided at an additional cost, or a reduced number of staff and years may be provided at a lesser cost.

Option 3 – Enhanced Technical Environment Support

At production cutover, AWI technical staff members assume responsibility for the support of the new UI Benefits application. This includes support of the hardware, software and network for at least three new environments for production, enhancement and testing.

These environments include a number of COTS products that require periodic upgrades in order to stay covered under manufacturer's maintenance and warranty protection. HCL proposes the option of including a technical infrastructure manager who will work as the single-point of contact for AWI on all upgrade and issue related contact with COTS product vendors.

This resource will be housed at the same location as the AWI information technology staff, and will work with them to define an upgrade schedule and path for each COTS product, and to serve as a safety net in resolving any technical environment related issues that may arise. The resource will also teach AWI information technology staff to manage the infrastructure in a hands-on manner, with the goal of complete staff self-sufficiency in infrastructure related areas.

HCL proposes a one-year enhanced technical environment support agreement. Additional staff or years may be provided at an additional cost.

Option 4 – Non-Hosted Call Center

Through our Verizon partner, HCL has proposed a hosted call center solution for AWI. We believe this is the lowest risk approach to providing AWI with the most advanced call center solution. AWI will receive the benefit of Verizon's technical implementation, maintenance staff and facilities. In addition, AWI will not need to be concerned with hardware or system software upgrades or enhancements as these activities will be completely provided by Verizon. This is the same model currently in use by the State of California Employment Development Department.

Should AWI prefer a non-hosted call center environment where AWI staff (or AWI contracted staff) will ultimately maintain the call center technology platforms, HCL is fully prepared to offer an i3 solution from Interactive Intelligence. HCL's UI Practice has successfully implemented this solution in 6 other UI agencies. Traditionally, a non-hosted call center option saves tremendous costs as call center technology service and maintenance is not outsourced.

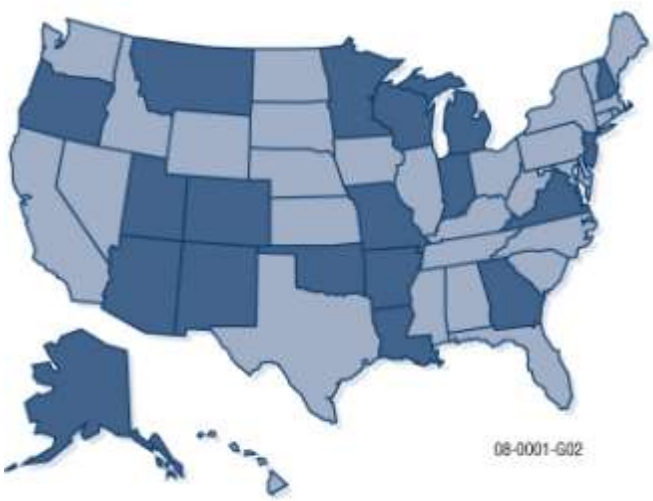
Option 5 – iGOVERN™ UI Upgrades and Maintenance

We offer an unlimited user license to our iGOVERN™ UI product. As part of this license, HCL will include a copy of the iGOVERN™ UI source code for AWI future modification and enhancement solely for the State of Florida upon completion of the contract. Should AWI have interest in future maintenance and upgrades associated with our product, HCL can provide this service as an additional option.

7. COMPANY PROFILE AND EXPERIENCE

7.1 HCL's History and Experience

HCL has one of the most experienced Unemployment Insurance (UI) practices in the USA. HCL had acquired the UI practice from RKV Technologies which, in turn, had acquired it from Tier Technologies. Through this acquisition, combined with HCL's own experience in Unemployment Insurance, we are pleased to be able to offer some of the very best UI systems integration talent available in our team. Collectively, our team members and corporate qualifications include over 150 years of ***UI system implementation experience in 19 different states***.



Alaska - UI Tax & Benefits Modernization and UI Call Center Implementation
Arizona - UI Data Validation and IV&V Services
Arkansas - Tax & Benefits Modernization and UI Call Center Implementation
Colorado - UI Call Center Implementation
Georgia - UI Call Center Implementation
Indiana - UI Connect Tax and Benefits Implementation
Louisiana – UI Connect Imaging and Workflow Implementation
Michigan - UI Tax and Benefits Imaging and Workflow Modernization
Minnesota - UI Tax and Benefits Modernization
Missouri - UI Connect Employer Registration and Modernization Assessment
Montana - UI Tax and Benefits Modernization
New Jersey - UI Benefits BPR, RFP Development and IV&V Services
New Mexico - UI Tax Requirements Definition
Oklahoma - UI Call Center Implementation
Oregon - UI Call Center Implementation
Utah - UI Tax and Benefits Modernization
Vermont - Internet UI Tax and Wage Reporting System
Virginia - UI Call Center Implementation
Wisconsin - UI Benefits and Appeals Modernization

This experience, in a wide variety of UI business environments, gives us a unique advantage for being able to deliver to Agency for Workforce Innovation (AWI) a comprehensive Unemployment Compensation system. The proposed solution is built upon the proven and successful baseline of iGOVERN™ UI, This solution will not include the Tax component of iGOVERN™, as this function is already implemented by another system. Our solution already provides much of the Claims, Appeals, Benefit Payment Control and Adjudication functionality required by AWI. With a dedicated UC team, HCL is well prepared to staff a project to implement a state-of-the-art system for AWI. In addition to our internal UC staff, HCL is supplemented through the strength of our teaming partners.

Our UC team includes many former state employees who have dedicated much of their professional lives to the work of collecting UI taxes and processing claims. As a team we understand the economic and social impacts of AWI's work, and we are excited about the prospect of helping AWI better serve the citizens with a modernized UC system.

Below, we provide a brief summary of some of the representative projects that demonstrate our relevant experience for the AWI UC Modernization effort. Many of these project we executed by the National UI Practice acquired from RKV Technologies. This national practice has remained entirely intact through the acquisition, bringing AWI "The Best of Both Worlds" in combining HCL's advanced software development capabilities with the newly acquired UI Practice and solution (iGOVERN™ UI).

- **Project 1: UI Modernization, Virginia Employment Commission Agency- Virginia**

  Brief:

  In February of 2010, HCL America entered into a contract with the Virginia Employment Commission (VEC) to develop a completely integrated UI tax, benefits and appeals solution using

HCL's iGOVERN™ UI solution. HCL America is the prime contractor for VEC's 4 year modernization effort that will result in a web-based solution that will increase VEC operational efficiency, promote claimant and employer self-service, while maximizing agency value to its constituents.

The VEC modernization project consists of 3 distinct phases including a rollout of data capture, imaging and workflow, tax and benefits releases. The architecture for the VEC implementation is virtually identical to the system proposed for AWI consisting of the following hardware and system infrastructure components:

- iGOVERN™ UI Tax, Benefits, Appeals and Self-Service
- IBM FileNeT
- Impression Technologies – iCapture for scanning and data capture
- Web Services
- Thunderhead for Correspondence
- Support for Oracle, DB2 or SQL*Server using Hibernate
- Support for WebSphere or JBoss Web Application Servers.

- **Project 2: Unemployment Insurance Modernization Project, Department of Workforce Development - Indiana**

  Brief:

  Development and Implementation of the Indiana Department of Workforce Development's (DWD) new UI processing system. The system is a fully integrated UI tax, benefits, and appeals framework that allowed state to fast track a complete UI system replacement using UI farmework. The implementation of the Indiana Unemployment Insurance Modernization (UIM) for DWD proved that the Phased Implementation with Early Benefits delivers measurable value early in the project life cycle. The implementation approach reduces overall project risks and improved the working relationship between vendor and client team members.

- **Project 3: UI Connect Imaging, Workflow, and Document Management, Labor and Workforce Commission – Louisiana**

  Brief:

  The Louisiana Labor and Workforce Commission (LWC) is using UI framework to automate the handling and processing of the thousands of paper documents LWC receives every day.

  We implemented a modernized imaging and workflow system which includes:

  - Intelligent Character Recognition (ICR) and Optical Character Recognition (OCR) using Impression Technology's iCapture solution, that is pre-integrated with iGOVERN™ UI
  - Upgraded Remittance Processing functionality to automatically process payments, and to prepare and make electronic bank deposits
  - Enterprise-wide workflow capability to manage and distribute issues
  - Modern image archiving and retrieval capability.

- **Project 4: System Requirements Specification for UI Tax Project, Department of Workforce Solutions - New Mexico**

  Brief:

  The New Mexico Department of Workforce Solutions (NMDWS) had undertaken development of a new UI Tax Processing System as part of an overall modernization of the NMDWS UI System.

This new system was intended to replace antiquated UI Tax processes and systems that are over 15 years old. The goal of the UI Tax Project was to update the UI Tax application to state-of-the-art technology and at the same time reduce the number of supported platforms at the NMDWS.

Our team identified and documented the business process requirements for the new UI Tax application, based on business and technical input by NMDWS staff. While defining the requirements, we took into consideration the business and technical aspects, the computing environment, and system information as specified and provided by NMDWS.

Using the information gathered, we were asked to perform a market analysis and gap analysis, gather cost estimates, and to document alternative solutions and recommendations for the Agency to consider.

NMDWS used all of the information gathered from this project to develop and issue a RFP (Request for Proposals) for the new UI Tax Processing System.

- **Project 5: UI Self-Service implementation, Department of Labor & Industrial Relations - Missouri**

  Brief:

  The team was engaged to develop a modernized Employer Self-Service (ESS) solution for the Department of Labor and Industrial Relations (DOLIR), Division of Employment Security (DES) in Missouri. DOLIR-DES was leveraging the ESS component of UI Connect to allow Missouri employers to register, maintain, and process their UI accounts. We also performed business analysis and process reviews of the entire operations of the DOLIR-DES, including the Tax, Benefits and Appeals business areas. as Also included was the underlying information and technical architecture required for a fully modernized system.

Apart from our core competency in Unemployment Insurance, HCL provides other citizen centric solutions in the areas of Child Care and Workers' Compensation. We also provide services to government clients across the globe, ranging from Consulting, Bespoke Development, Legacy Modernization, Reengineering, Content Management and Implementation, to Infrastructure management.

Some of the US projects executed by us are listed below:

In USA:#	HCL Major Engagements	Application development	Consulting	Case Management	Web Development	Database based	Project Management
1	Tennessee Department of Labor and Workforce Development & Department of Human Services, Case Management and Activity Tracking System	✓	✓	✓	✓	✓	✓
2	Georgia State Board Of Workers' Compensation, Integrated Claims Management Solution	✓		✓	✓	✓	✓

In USA:#	HCL Major Engagements	Application development	Consulting	Case Management	Web Development	Database based	Project Management
3	Connecticut Department Of Labor, Benefit Over Tracking System	✓		✓	✓	✓	✓
4	Washington Department of Labor & Industries, Organized Information Online (ORION)	✓	✓	✓	✓	✓	✓
5	Nevada Department of Human Resources (DHR), Child Care System	✓	✓	✓	✓	✓	✓
6	New York Public Utilities Commission, Case Management System	✓		✓	✓	✓	✓
7	Workforce and Safety Insurance, North Dakota	✓	✓	✓		✓	✓
8	New Hampshire Department of Employment Security, Electronic Document Management System	✓			✓	✓	✓
9	New Hampshire Department of Health and Human Services, Childcare Provider Billing System	✓		✓	✓	✓	✓
10	Connecticut Department Of Labor, Benefit Over Tracking System	✓		✓	✓	✓	✓
11	Maryland Workers' Compensation Commission, Workers' Compensation System	✓	✓	✓	✓	✓	✓
12	Nevada State Collection And Disbursement Unit, Collection And Disbursement System	✓	✓	✓	✓	✓	✓
13	New York Office of Administrative Hearings - Office of Temporary Disability & Assistance Fair Hearing, Decision Management System	✓			✓	✓	✓

To offer AWI the best team and solution available, HCL intends to use the following sub-contractors on this project:

- Verizon
- Impression Technology, Inc.
- University of South Florida.

Figure – The HCL - AWI Team

Verizon – Verizon Business, a unit of Verizon Communications, is a global leader in communications and IT solutions. It combine's professional expertise with one of the world's most connected IP network to deliver award-winning communications, IT, information security and network solutions. Verizon is providing the call center solution for this project.

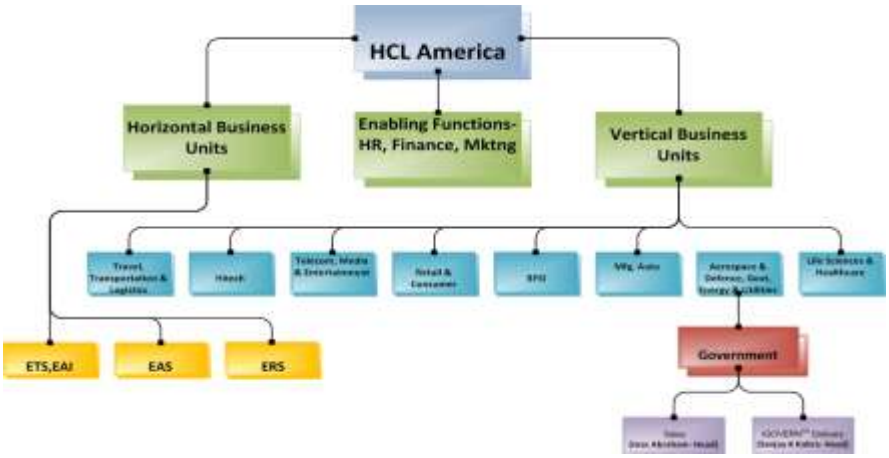
Impression Technology – It is both a product and a system integration company concentrating solely in the delivery of high-volume automated data capture systems and imaging solutions for government agencies. We are using their flagship product, iCapture, for automated data entry systems and for daily processing of forms, claims and other documents.

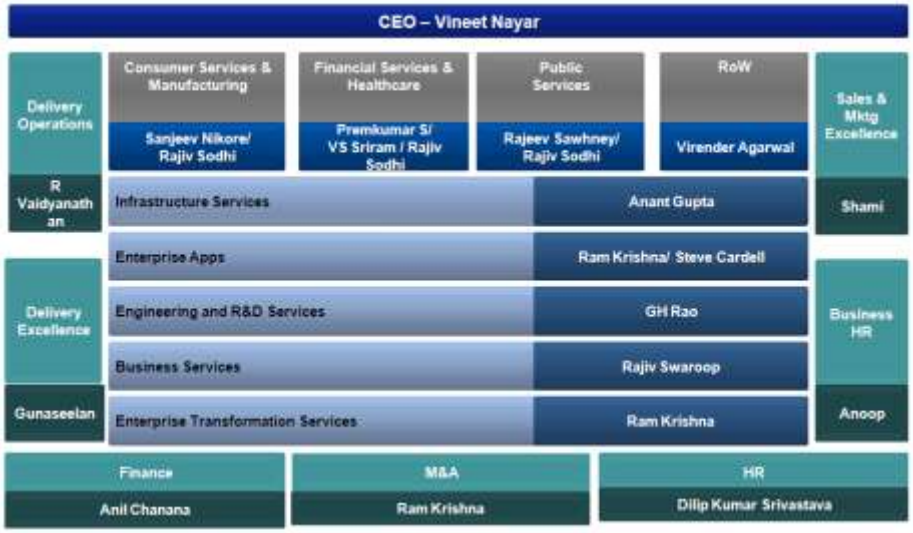
University of South Florida – Curriculum development and training will be performed though a sub-contract with the University of South Florida, Tampa (USF). USF, and its College of Behavioral and Community Sciences' Departments have extensive experience and expertise in multi-faceted professional training for both public and private entities. The Division of State and Local Support (SLS) will administer, direct and deliver the training component and will partner with the College's Training Consortium for certain facility and related project resources. SLS designed and delivered the statewide training for the Department of Children and Families (DCF) for its SACWIS integrated case management system (FSFN) to over 7,000 state and private agency staff during 2008-2009. The Division will again leverage the College and University's existing resources and infrastructure to efficiently deliver high quality training throughout the life of the project.

7.2 Company Profile

HCL has the experience to fulfill the requirements of AWI for this Unemployment Compensation project.

The below tables provide information on HCL (Respondent) and the sub contractors which will be used for this project.

S. No.	Information	Response
1	Full, legal name	HCL America, Inc (Respondent)
2	Federal Employee Identification Number	77-0205035
3	Proof of legal entity and authorization to do business with the State of Florida	Please refer to Appendix 10.2
4	Country and state of incorporation	US, California
5	Principal place of business	Our corporate headquarters address is: 330 Potrero Avenue Sunnyvale, CA 94085
6	Description of the Respondent's organization, including number of years in business, subsidiaries, parent corporations, officers; include organization charts and details concerning the number of facilities by geographic location;	HCL America, Inc has been in business for approximately 22 years. It is a subsidiary of HCL Technologies which, in turn, is a part of the $5 billion HCL enterprise, catering to 26 countries and employing app 62000 employees. HCL America's organization chart is shown below:  HCL Technologies organization chart depicting the corporate hierarchy is shown below:



We are located across the globe, namely: USA, Canada, UK, France, Netherlands, Belgium, Poland, Sweden, Italy, Germany, Brazil, Australia & New Zealand, India, China, Hong Kong, Japan, Malaysia, Singapore, Dubai, Saudi Arabia, Kuwait and Qatar.

In the USA, we are present in various locations, namely:

HCL America, Inc. (Development Center)
11,000 Regency Parkway
Suite 10 Cary, NC 27518

HCL America, Inc.
2601 Network Boulevard
Suite 400, Frisco, Texas 75034

HCL America, Inc.
330 Potrero Avenue
Sunnyvale, CA 94085

HCL America, Inc.
18301 Von Karman Avenue
Suite 590, Irvine, CA 92612

HCL CapitalStream Inc.
3 Park Plaza, Suite 450
Irvine, CA 92614

HCL America, Inc.
25 Vreeland Road, Building B
Suite 101,Florham Park, NJ 07932

HCL America, Inc.

		135 US Highway 202-206 Bedminster, NJ 07921 **HCL America, Inc.** 1950 Old Gallows Road Suite 555, Vienna, VA 22182 **HCL America, Inc.** 1400 Opus Place Suite 650 Downers Grove, IL 60515 **HCL America, Inc.** 13920 SE Eastgate Way Suite 220 Bellevue, WA 98005 **HCL America, Inc.** 99 East River Drive 7th Floor, East Hartford, CT 06108 **HCL America, Inc.** 262 Washington Street Suite 700, Boston, MA 02108 **HCL America, Inc.** 11001 W. 120th Avenue Suite 400, Broomfield, CO – 80021 **HCL America, Inc.** 3250 W. Big Beaver Road Suite 312, Troy, Michigan 48084 **HCL America, Inc** 500 Mamaroneck Ave. Suite 402, Harrison, NY 10528 **HCL America, Inc.** Suite 2610, 61 Broadway New York 10006 **HCL America, Inc.** 400 Crown Colony Drive, Suite 500 Quincy, MA 02169 **HCL America, Inc.** 100 Galleria Parkway Office Building Suite 970, Atlanta GA 30339 **HCL CapitalStream Inc.** 821 2nd Avenue, Suite 1300

		Seattle, WA 98104-1578
7	Brief description of the Respondent's principal type of business and history and what uniquely qualifies it for this work	**About HCL:** HCL is a world leading provider of integrated business transformation, applications delivery, infrastructure management and business processing outsourcing services. HCL has a turnover of over $5bn and employs 62,000 technology and business specialists working in over 60 countries around the world. HCL provides its clients with a broad range of high quality Business and IT services. We cater to the following industries – Government, Energy & Utilities, Financial Services, Manufacturing, Automotive, Aerospace & Defense, Life Sciences, Healthcare, Media & Entertainment, Retail & Consumer, Telecom, Transportation & Logistics, Travel & Hospitality, Semi Conductors, Consumer Electronics, Servers & Storage. We are recognized as market leaders in technology services by Harvard Business Review, International Data Corporation (IDC), Fortune, Forbes, The Economist and Business Week. We provide services in the area of Custom Application Services, Enterprise Transformation, Enterprise Application Services, Integrated SAP Services, Infrastructure Services and Business Process Outsourcing. **About HCL's Government Practice:** We have been catering to the state and local government for the last 16 years, providing citizen centric offerings. Our benefits led solutions have been architected by domain experts to fit key government functions. HCL provides citizen centric solutions, such as Unemployment Insurance, Child Care and Workers' Compensation. HCL is a leader in public sector transformation, and are involved in some of the largest transformation programs in this sector across the globe. HCL is also one of the leading providers of Enterprise Services for the Public Sector across the globe. We have a dedicated UI team which has executed numerous projects in the area of UI and we intend to bring that experience to cater to the UC requirements of the FL AWI. In addition, we have over 150 years of UI system implementation experience in 19 different states.
8	State whether the Respondent has filed for bankruptcy protection in the past five years or is currently in the process of filing or planning to file for bankruptcy protection or financial restructuring or refinancing. If so provide Court and case number	HCL has not filed for bankruptcy protection in the past five years, and is neither currently in the process of filing or planning to file for bankruptcy protection, or financial restructuring or refinancing.
9	Identify any	There would be no potential or actual conflicts of interest that might arise for

	potential or actual conflicts of interest that might arise for the Respondent as a result of Contract award to the Respondent, and describe in detail the plan to eliminate or mitigate them. Such conflicts include, but are not limited to, those covered by Section 6 of the PUR 1001 (Section C).Address both personal and organizational conflicts	HCL as a result of Contract award to HCL.
10	Describe reservations Respondent must make if unable to certify completely all of the items in Section 9 of the PUR 1001 (Section C,) entitled "Representations and Authorization." If no reservations are made in this section of the proposal, Respondent shall be deemed to attest to the truth of all of listed items and the Agency may rely upon them	HCL confirms to attest to the truth of all of listed items in Section 9 of the PUR 1001 (Section C,) entitled "Representations and Authorization." and the Agency may rely upon them.

S. No.	Information	Response
1	Full, legal name	Verizon Business Network Services Inc. on behalf of MCI Communications Services, Inc. doing business as Verizon Business Services.
2	Federal Employee Identification Number	47-0751768
3	Proof of legal entity and authorization to do business with	Please refer to Appendix 10.2

	the State of Florida	
4	Country and state of incorporation	U.S., Delaware
5	Principal place of business	The address of the corporate headquarters for Verizon Business is: One Verizon Way Basking Ridge, New Jersey 07920 Phone: 908-559-2000
6	Description of the Respondent's organization, including number of years in business, subsidiaries, parent corporations, officers; include organization charts and details concerning the number of facilities by geographic location;	Verizon Communications, Inc. is a world-wide premier telecommunications, wireless, wireline, and solutions provider and integrator. Verizon provides solutions and capabilities in all major enterprise verticals for Government and Education, Corporate, and Federal markets. These capabilities span solutions in intelligent networking, hosting, virtualization, contact center, managed services, professional services and consulting, security, application hosting and development, wireless integration and connectivity. Verizon Communications Inc. based in New York City, formerly known as Bell Atlantic Corporation, was incorporated in 1983 under the laws of the State of Delaware. We began doing business as Verizon Communications on June 30, 2000 following our merger with GTE Corporation. Verizon began trading on the New York Stock Exchange (NYSE) under the VZ symbol on Monday, July 3, 2000. Verizon Business is the name of the new Verizon business unit encompassing business and government customers and related functions of the former MCI, as well as similar businesses that previously were part of Verizon Domestic Telecom, including the former Verizon Enterprise Solutions Group (ESG). Through a series of mergers, the business unit currently doing business as Verizon Business, has been providing telecommunication services for approximately 40 years. Verizon Communications Inc .is headquartered in New York City. Verizon Business operations include 321 offices in 75 countries spanning six continents. Verizon Business's Leadership Team is provided below.

		 Francis J. Shammo President and Chief Executive Officer Kerry T. Bailey Senior Vice President and Chief Marketing Officer D. Blair Crump Group President - Worldwide Sales and Service Kathleen McKenna Vice President - Communications Cornia Nelson Senior Vice President - Human Resources Craig Silliman Senior Vice President - Legal and External Affairs Judith Spitz Senior Vice President and Chief Information Officer Michael Stefanski Senior Vice President and Chief Financial Officer Robert Toohey Senior Vice President - Global Customer Care and Services
7	Brief description of the Respondent's principal type of business and history and what uniquely qualifies it for this work	Verizon Business, a unit of Verizon Communications is a global leader in communications and IT solutions. Verizon combine's professional expertise with one of the world's most connected IP network to deliver award-winning communications, IT, information security and network solutions. Many of the world's largest businesses and governments - including 96 percent of the Fortune 1000 and thousands of government agencies and educational institutions - rely on Verizon's professional and managed services and network technologies to accelerate their business. Positioned as one of the world's leading providers of communications services, Verizon Business remains a strong, financially stable company: • Annual operating revenues of $97.4 billion (U.S.) in 2008 • Over 235,000 employees worldwide as of August 2009 • Fortune 500 rankings of the largest companies • Verizon ranks #17 in the U.S. on the Fortune 500 Ranking and #55 globally in 2009 • $26.6 billion of our cash flow in 2008 is from operating activities • A Dow 30 company – Part of an elite list of the 30 American multinational conglomerates which make up the best known and most widely followed market indicator in the world Verizon's comprehensive global solutions portfolio covers enterprise essentials, building customer networks, helping make them resilient and secure, and managing what runs on customer network. Verizon's product scope includes the following: • CPE and Maintenance Solutions • Voice • Data Networking • Security and Resilience Planning • IT Solutions and Hosting • End-to-End Management Solutions • Conferencing and Extensive Wireless Capabilities

		• Contact Center Solutions. Verizon's expansive IP network provides the foundation for the next generation of advanced worldwide communications and IT solutions, helping enterprises: • Maximize bandwidth utilization • Reduce network equipment and management costs • Lower electricity and HVAC consumption • Enable employee productivity improvements • Facilitate e-commerce The Verizon Business Difference • Global solutions to address enterprise business challenges • Collaborative global resources – sales, solutions architects and support • A financially stable communications leader • Global, unified sales and service model • The experience needed to serve the world's largest multinational corporations. Verizon has been providing a hosted and customized framework to support California Employment Development Department's employment contact center infrastructure consisting of: • Hosted ACD architecture and service • Hosted IP Centrex solution as access to Hosted ACD • Completely managed MPLS network infrastructure • Customized agent desktop in an IP enabled environment. Verizon's ability to understand, adapt, and frame a solution tailored to address EDD's business challenges resulted in a modernized architecture that introduced automation, greater workforce efficiency, mobility, and continuity of business operations in EDD's business operations.
8	State whether the Respondent has filed for bankruptcy protection in the past five years or is currently in the process of filing or planning to file for bankruptcy protection or financial restructuring or refinancing. If so provide Court and case number	Verizon has not filed for bankruptcy protection in the past five years nor is it currently filing or planning to file for bankruptcy protection or financial restructuring or refinancing.
9	Identify any potential or actual conflicts of interest that might arise for the Respondent as a result of Contract award to the	To the best of its knowledge, Verizon Business is not aware of any such potential or actual conflicts of interest.

	Respondent, and describe in detail the plan to eliminate or mitigate them. Such conflicts include, but are not limited to, those covered by Section 6 of the PUR 1001 (Section C).Address both personal and organizational conflicts	
10	Describe reservations Respondent must make if unable to certify completely all of the items in Section 9 of the PUR 1001 (Section C,) entitled "Representations and Authorization." If no reservations are made in this section of the proposal, Respondent shall be deemed to attest to the truth of all of listed items and the Agency may rely upon them	• The product offered by the respondent will conform to the specifications without exception. Verizon takes exception. The products and services proposed by Verizon to HCL are offered subject to the exceptions, conditions, qualifications, assumptions and caveats set forth in Verizon's proposal to HCL. • The respondent has read and understands the Contract terms and conditions, and the submission is made in conformance with those terms and conditions. Verizon takes exception. Verizon's proposal to HCL and the rates, terms and conditions set forth therein are contingent upon HCL and Verizon entering into a written agreement, signed by both parties, consistent with Verizon's standard terms and conditions for such products and services. Verizon takes exception to any and all terms or conditions set forth in the ITN that are not consistent with Verizon's standard terms and conditions or which would materially alter the rights or obligations of either party. • If an award is made to the respondent, the respondent agrees that it intends to be legally bound to the Contract that is formed with the State. Verizon takes exception. Verizon will not be a party to the prime contract resulting from this ITN. Verizon's proposal to HCL and the rates, terms and conditions set forth therein are contingent upon HCL and Verizon entering into a written agreement, signed by both parties, consistent with Verizon's standard terms and conditions for such products and services. Verizon takes exception to any and all terms or conditions set forth in the ITN that are not consistent with Verizon's standard terms and conditions or which would materially alter the rights or obligations of either party. • All other items are accepted without reservations

S. No.	Information	Response
1	Full, legal name	Impression Technology, Inc.
2	Federal Employee	94-3273575

	Identification Number	
3	Proof of legal entity and authorization to do business with the State of Florida	If required, Impression Technology will file for registration in Florida prior to the execution of the contract.
4	Country and state of incorporation	USA, California
5	Principal place of business	Walnut Creek, CA
6	Description of the Respondent's organization, including number of years in business, subsidiaries, parent corporations, officers; include organization charts and details concerning the number of facilities by geographic location;	Impression Technology is a privately held firm which was incorporated in California in 1997. This is our 13th year of operation and we have no subsidiaries neither parent corporation. All projects are performed from our offices in Walnut Creek, California, with on-site work as required. Company Officers are: • Mike Tokuyama—President • Charles Hou—Chief Information Officer/Vice President • Bruce Lechner—Vice President, Business Development.
7	Brief description of the Respondent's principal type of business and history and what uniquely qualifies it for this work	Impression Technology is both a product and a system integration company concentrating solely in the delivery of high-volume automated data capture systems and imaging solutions for government agencies. Our flagship product, iCapture, is an award winning and industry leading ICR/OCR system for automated data entry systems in the public sector and our solutions process hundreds of thousands of forms, claims and other documents daily at sites across the United States. Our solutions offer a unique blend of capabilities in the industry for simultaneously processing paper submissions, electronic submissions and the remittance payments that frequently accompany each transaction. We have designed and installed automated data capture and imaging systems for government organizations across the country. Our current clients include: City of Tucson, Arizona, Tax Division, City of Phoenix, Arizona, Tax Division, City of Peoria, Arizona; Tax Division, City of Peoria, Arizona; Police Department, California Board of Equalization, Sales and Use Tax, California Franchise Tax Board, Child Support Payment Processing, Oregon Department of Revenue, Tax Return Processing, Washington Department of Revenue, Sales and Excise Tax, Louisiana Department of Labor and Employment, California Department of Public Health, Vital Records Project, California Employment Development Department, Tax Processing, California Employment Development Department, Unemployment Insurance, Indiana Department of Workforce Development, Unemployment Insurance, Michigan Unemployment Insurance Agency, Unemployment Insurance, Oregon Employment Department, Wyoming Department of Employment, Tax Processing, Pennsylvania Department of Public Welfare, Medical Claims Processing Founded and incorporated in 1997, Impression Technology is a minority owned business enterprise and a registered Small Business within the State

		of California. The following distinguishing factors that position us as the partner of choice in major data capture and imaging projects: • Our flagship product, the iCapture suite of software, has been in production for 11 years and it has proven to be one of the most powerful, reliable and extensible data capture solutions available within the industry. At our largest site, California Employment Development Department, we process over 60 types of forms and over 80,000,000 pages annually and this site won a GTC award for the most cost effective use of technology, a Microsoft award for IT excellence and the solution was cited in the 2006 California Performance Review as a model for other State Agencies. • All of our clients we have worked with since 1997 is a reference for our performance of their engagement. • By focusing our resources and efforts on the Public Sector markets identified above, we bring to each new engagement the best practices and lessons learned on projects performed for similar Departments and Agencies. • Finally, solutions provided by Impression Technology work, and work all the time. The majority of our solutions are processing forms, claims, remittance transactions and other data that either have a direct impact on a Department's ability to perform its mission for the City or State, or a direct impact on the public or employers within that City or State.
8	State whether the Respondent has filed for bankruptcy protection in the past five years or is currently in the process of filing or planning to file for bankruptcy protection or financial restructuring or refinancing. If so provide Court and case number	Impression Technology has never filed for bankruptcy and has no plans to do so. We have been profitable since 1997, have no outside investors and all work is performed by full time employees of the firm.
9	Identify any potential or actual conflicts of interest that might arise for the Respondent as a result of Contract award to the Respondent, and describe in detail the plan to eliminate or mitigate them. Such conflicts include, but	There would be no potential or actual conflicts of interest that might arise for Impression Technology as a result of Contract award to HCL.

	are not limited to, those covered by Section 6 of the PUR 1001 (Section C).Address both personal and organizational conflicts	
10	Describe reservations Respondent must make if unable to certify completely all of the items in Section 9 of the PUR 1001 (Section C,) entitled "Representations and Authorization." If no reservations are made in this section of the proposal, Respondent shall be deemed to attest to the truth of all of listed items and the Agency may rely upon them	Impression Technology is able to certify completely all of the items in Section 9 of the PUR 1001 (Section C).

S. No.	Information	Response
1	Full, legal name	University of South Florida Board of Trustees.
2	Federal Employee Identification Number	59 3102112
3	Proof of legal entity and authorization to do business with the State of Florida	If required, University of South Florida will file for registration in Florida prior to the execution of the contract.
4	Country and state of incorporation	USA, Florida
5	Principal place of business	4202 E Fowler Ave Tampa, FL 33260
6	Description of the Respondent's organization, including number of years in business, subsidiaries, parent corporations, officers; include organization charts	The University of South Florida is a state-controlled institution of higher learning opened in 1960 lead by President Judy Genshaft and Provost/Executive Vice President Ralph Wilcox along with the Board of Trustees. The University of South Florida System (USF System) is governed by the USF Board of Trustees, the public body corporate created by Article IX, Section 7 of the Constitution of the State of Florida. The USF System is comprised of two separately accredited institutions, USF and USF St. Petersburg. USF includes the main campus in Tampa, its College of Marine Science in St. Petersburg, USF Health and two regional

	and details concerning the number of facilities by geographic location;	campuses, USF Sarasota-Manatee and USF Polytechnic, located in Lakeland. Serving more than 47,000 students, the USF System has a $1.8 billion annual budget, an annual economic impact of $3.2 billion and was awarded $380.4 million in research contracts and grants in fiscal year 2008/2009. The USF System is a member of the Big East Athletic Conference. Institutions & Campuses • USF Tampa, including USF Health, is located in Northeast Tampa, one of the fastest growing areas in Tampa Bay. USF Health is a partnership of the Colleges of Medicine, Nursing and Public Health. Its research, education and healthcare missions are accomplished with creative educational models, focused on emerging fields of research, and breaking the boundaries of traditional healthcare delivery models to meet the changing needs of a growing community. USF ECampus supports USF's distance programs and provides academic services for credit and noncredit continuing education programs, facilitates instructional effectiveness and the integration of technology in both face-to-face and distributed instruction, and coordinates noncredit continuing education and lifelong learning programs. • USF St. Petersburg is located on the beautiful waterfront in downtown St. Petersburg, an area featuring parks, shops, restaurants, art galleries, museums and performing arts and sports venues. The campus serves more than 3,700 undergraduate and graduate students. • USF Sarasota-Manatee is located on the border of Sarasota and Manatee counties, a vibrant area featuring educational and cultural institutions such as the John & Mable Ringling Museum of Art. The campus offers 44 bachelor's degree, master's degree, and certificate programs to those who have at least an associate's degree. • USF Polytechnic, the state's only polytechnic campus, is located in Lakeland at the heart of Florida's High Tech Corridor. Emphasizing applied learning and research, the campus serves students in Polk, Highlands, Hardee and eastern Hillsborough counties with over 20 undergraduate, graduate and certificate programs.
7	Brief description of the Respondent's principal type of business and history and what uniquely qualifies it for this work	• USF is an institution of higher learning and a leading research university. The Department of Child & Family Studies (CFS) is one of eight departments and schools within the College of Behavioral & Community Sciences (BCS) at the University of South Florida (USF), and historically affiliated with the Louis de la Parte Florida Mental Health Institute (FMHI). All activities within CFS are closely aligned with USF strategic goals to expand research and scholarly endeavors, expand initiatives to

		strengthen and sustain healthy communities and to improve the quality of life for children and families. CFS is consistently among the top three University departments bringing in external funding, thus meeting the University goal of establishing a strong and sustainable economic base in support of USF's growth. • We should pursue the active participation of stakeholders in development of research, programs, policy, and the delivery of services. • We should be accountable for our work and believe that it should result in outcomes that are valued by our stakeholders.
8	State whether the Respondent has filed for bankruptcy protection in the past five years or is currently in the process of filing or planning to file for bankruptcy protection or financial restructuring or refinancing. If so provide Court and case number	N/A
9	Identify any potential or actual conflicts of interest that might arise for the Respondent as a result of Contract award to the Respondent, and describe in detail the plan to eliminate or mitigate them. Such conflicts include, but are not limited to, those covered by Section 6 of the PUR 1001 (Section C).Address both personal and organizational conflicts	There would be no potential or actual conflicts of interest that might arise for USF as a result of Contract award to HCL..
10	Describe reservations Respondent must make if unable to certify completely all of the items in Section 9 of the	None

	PUR 1001 (Section C,) entitled "Representations and Authorization." If no reservations are made in this section of the proposal, Respondent shall be deemed to attest to the truth of all of listed items and the Agency may rely upon them	

a. Provide the names and addresses of all affiliated or related companies, partnerships or associations (including sub-contractor, if any) and a brief description of their relationship to the Respondent.

The sub contractors which we intend to use for this bid have been described above. HCL's affiliates are provided in the questionnaire above.

b. If proposing to use any sub-contractors for the project, respondent's shall describe in detail their experience as a prime Respondent in dealing with sub-contractors and how they plan to manage and coordinate any proposed sub-contractors;

As a large system Integrations Company, HCL has extensive experience serving as prime contractor for large government systems integration clients. As such, HCL provides a highly structured approach and philosophy to ensure that our clients receive the maximum benefit from our integrated teams.

Our philosophy is to create a "one team "approach between our consultants, the customer's team and other sub-contractor's consultants, all focused on delivering the end solution. This is achieved by:

1. Inclusive approach to project work (e.g. projects meetings, workshops and events)
2. The right Governance Model
3. Actively managing the touch-points between all vendors
4. Uniform vendor management processes
5. Performance Management: Understanding the inter-dependencies among sub-contractors and between services; establishing consistent metrics for tracking performance for each link in the chain.

Appropriate tools to capture, track and communicate vendor performance and compliance to relevant stakeholders in real-time

- Contract management suites
- Service delivery automation
- SLA management and measurement
- Executive dashboards.

HCL ensures that our consultants work with clients, and their 3rd party or partner resources, as a team. We adopt the following to aid this teamwork approach:

- Team structure, inclusion of all relevant stakeholders from all organisations
- Project office environment. The physical seating of the team in the project office should reinforce joint team working this and hence facilitate communications and good team-working behaviours
- Inclusive meetings. Most projects meeting (where relevant) should involve a mix of client, partner and HCL staff helping to foster value and commitment from all parties.

A combined team provides the right environment for all team members to work together harmoniously, and to form sound working relationships. HCL staff pride themselves on their professional approach in this regard, and many retain strong friendships with client and partner staff beyond the life of the project.

Close relationships enables HCL, client and other partner counterparts to approach the business as single and effective team, providing the right combination of project and technical experience alongside the deep business knowledge.

Working in multi-sourcing environment does require some special arrangements.

- Typically we expect all partners to sign reciprocating non-disclosure agreements in order to share proprietary IPR for the benefit of the overall project
- If operating in a co-sourcing environment, then it is recommended that a teaming agreement is developed to define clear roles and accountabilities for work packages, and to define the sourcing process, rules and criteria. In our experience this "open" agreement and process approach promotes healthy competition for the best resources for the project.

c. If proposing to use any sub-contractors for the project, respondents shall describe in detail their previous project experience with each sub-contractor. If this would be the first joint-venture with the proposed sub-contractor, explain why each was selected for this project.

Our previous experience with each sub-contractor is described below:

Verizon has not worked as a subcontractor to HCL prior to this proposal. However, HCL has worked on web application development projects executed for another part of Verizon. HCL chose Verizon as a partner for this project to provide call center solutions that meet AWI's requirements. The solutions offered by Verizon Business IP Contact Center Services help customer call centers achieve higher service levels, reduced costs and increased revenues through innovative solutions.

Impression Technology, Inc. has worked as a subcontractor to HCL on Unemployment Insurance projects, with positive outcomes. HCL chose Impression Technology to provide the very best data capture capabilities as part of the integrated AWI solution. Impression Technology has an impressive list of Public Sector clients and has a well earned reputation for delivering highly reliable, mission critical systems, many of which process millions of documents annually. Its flagship product, the iCapture suite of software, has been in production for 11 years and it has proven to be one of the most powerful, reliable and extensible data capture solutions available within the industry.

University of South Florida has not worked as a subcontractor to HCL prior to this proposal, It has, however provide large training programs to related state organizations in the past, and we are pleased to have them on our to provide the AWI staff training portion of this project.

Curriculum development and training will be performed though a sub-contract with the University of South Florida, Tampa (USF). USF, and its College of Behavioral and Community Sciences' Departments have extensive experience and expertise in multi-faceted professional training for

both public and private entities. The Division of State and Local Support (SLS) will administer, direct and deliver the training component and will partner with the College's Training Consortium for certain facility and related project resources. SLS designed and delivered the statewide training for the Department of Children and Families (DCF) for its SACWIS integrated case management system (FSFN) to over 7,000 state and private agency staff during 2008-2009. The Division will again leverage the College and University's existing resources and infrastructure to efficiently deliver high quality training throughout the life of the project

d. Provide detailed description of any and all contracts or agreements that have already been entered into with a sub-contractor to provide goods or services under any contract related to this Invitation to Negotiate (provide copies of the contract(s) or agreement(s) with the sub-contractor, signed by an officer representing each party).

Please refer to Appendix 10.3 for Contracts or Agreements with the sub-contractors related to this ITN.

7.3 Dun & Bradstreet – Supplier Qualifier Report

Please refer to Attachment H for the Supplier Qualifier Report.

8. PERSONNEL

8.1 Resumes and Experience

a. A project organization chart including all the project team members and their roles title within the project

HCL project organization chart is shown below:

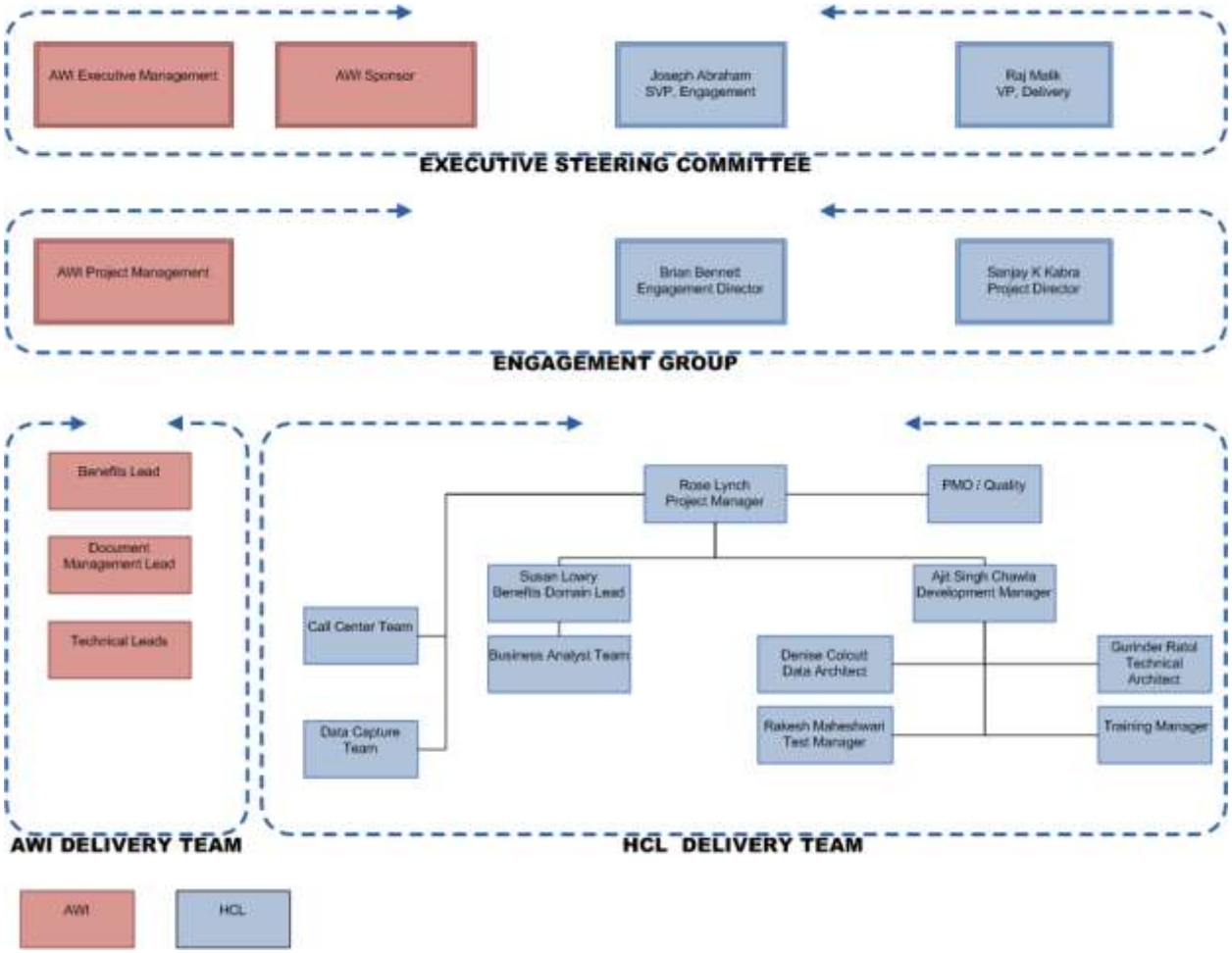


Figure: HCL Organization Chart

b. A chart depicting staffing levels over the duration of the project

The ramp up chart is shown below:

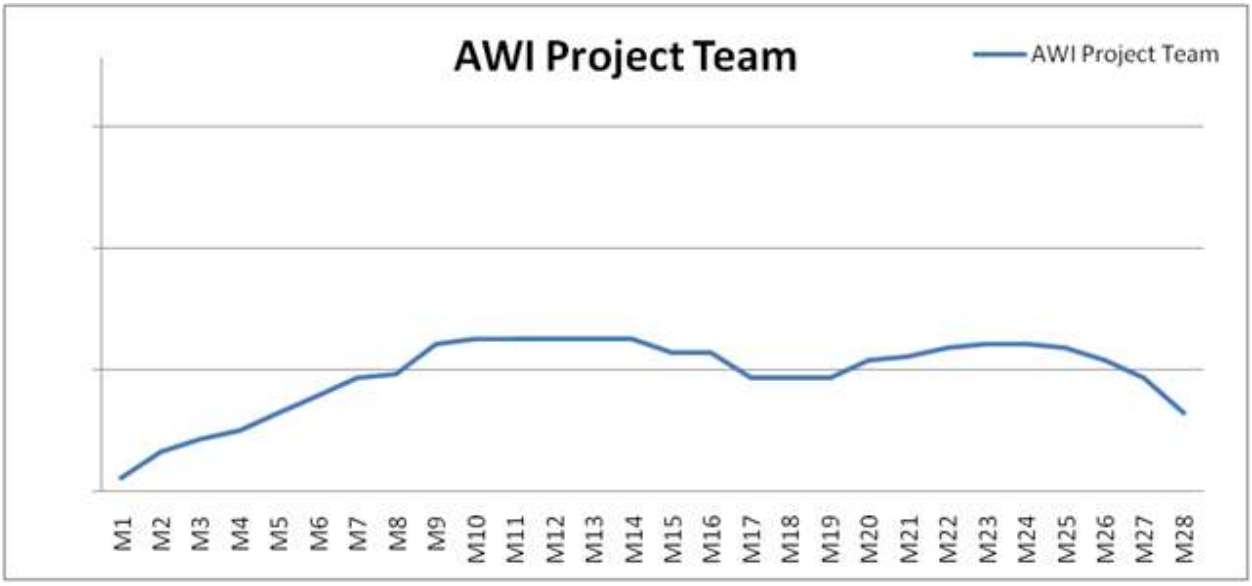


Figure: AWI Project Staffing Level Chart

c. A table with the following columns, listing for each of the proposed project team members, Name - Team member name or role title, Role - Role descriptions and responsibilities, Duration - Timeframes of their role on this project, Experience - Evidence of previous experience with a highly similar task on a large scale project, and Tenure - How long each person has been with the company, or if they are contract staff

S.No	Name	Role/Title	Role descriptions and responsibilities	Experience of resource in various fields				
				iGOVERN™	UI System Implementation	UI Domain /Technical Experience	Large System Implementation	Advance System Development Lifecycle

1	Rose Lynch	Project Manager	• Retains overall responsibility for successful delivery of the Project • Reports to the UC Project Management Office • Is responsible for all project management activities • Manages and directs the team • Leads the planning and development of project deliverables • Maintains all project documentation, including the detailed Project Management Plan • Ensures adherence to the project management standards and guidelines • Is Responsible for project management areas including scope, risk, schedule, quality and change control • Prepares formal project reports and presentations	√	√	√	√	√

2	Susan Lowry	SME - Benefits and Appeals	• Conducting the functional analysis; defining and confirming the functional requirements • Leading the gap analysis sessions with AWI SMEs and business users • Business process updations • Work with trainers in developing the training content and assist while delivering trainings • Work with testers and assist them in creating testing scenarios and then executing it • Provide guidance to project development team	√	√	√	√	√

3	Joanne Loughney-Finstad	SME – Benefits and Appeals	• Conducting the functional analysis; defining and confirming the functional requirements • Leading the gap analysis sessions with AWI SMEs and business users • Business process updations • Work with trainers in developing the training content and assist while delivering trainings • Work with testers and assist them in creating testing scenarios and then executing it • Provide guidance to project development team	√	√	√	√	√
4	Ajit Singh Chawla	Development Manager	• Manage all the design and customization tasks • Lead the team of designers and developers to deliver the solution • Work with Project Manager to create the delivery schedule • Ensure timely and quality deliveries to the testing team and AWI • Coordinate with Functional Manager on the functional requirements • Manage the schedule, scope and effort for solution deliveries	√	√	√	√	√

5	Nittin Jain	Lead - Content Management & Workflow	• Lead a team of implementation engineers to implement the content management part of the solution • Own and design an efficient content management solution • Participate in gap analysis sessions to identify any gaps in the workflow • Own the end to end configuration and integration of content management part of solution • Coordinate with other leads and SMEs on functional and technical integration • Single point of contact for AWI on content management • Assist project manager in estimation, planning and analyzing the changes	√	√	√	√	√
6	Denise Collcutt	Data Architect	• Participate in Gap Analysis sessions • Own the data dictionary and control the updates to that. • Plan and manage any database changes required for gaps identified • Owns the data design to ensure it is efficient and as per the guidelines • Lead a team of DB developers to get all DB related updates done as part of project • Impact analysis for any DB changes identified	√	√	√	√	√

7	Alan J. Samuels	Functional Manager -- Unemployment Insurance	• Provide Guidance and Expertise to the functional team involved • Ensures Gap Analysis Process is followed •	√	√	√	√	√
8	Jackie Wurster	Sr. Business Analyst	• Requirement Validation • Participate in Gap analysis sessions • Document all gaps and work with developers in transferring the gap information to them • Write Test scenarios and create test data • Participate in functional design sessions • Participate in all testing phases	√	√	√	√	√

9	Gurinder S. Ratol	Technical Architect	• End-to-end architecture definition that includes the Application, Integration, security and Infrastructure Architecture • Lead all the technical design and architecture discussions with AWI • Guide the team on design principles • Ensure any changes in design during design updates do not have and Architectural impact • Recommend any new or alternate tools • Recommend any additional/alternate software's which could add value • Own the deployment architecture and oversee deployment activities • Trade-off Analysis • Architecture Governance	√	√	√	√	√
10	Rakesh Maheshwari	Testing Manager	• Test Planning, Estimation and Scheduling • Test Case Management (Preparation and Execution) • Defect Management • Lead the team through Validation and Verification and then through UAT • Create Test Reports • Publish Test results • Coordinate with IV&V vendor	√	√	√	√	√

11	Donald N. Policella	Lead Trainer (University of South Florida)	• Manage all the training course preparation and scheduling • Creating Training plans • Conduct trainings for end users at one or more locations • Arrange training equipments and facilities at all training locations • Work with AWI and HCL project managers on scheduling all trainings • Publish training reports					
12	Bonifacio Villanueva	Technical Manager, Data Capture Subsystem (Impression Technologies)	• Owner of all Data Capture components of IWA UC solution • Coordinate with HCL and AWI Project Manager on Data Capture related deliverables • Be the Single Point of contact for HCL and AWI teams					

d. Résumés of the personnel assigned to work on this project describing their work experience, education, and training as it relates to the requirements of this ITN

For this project, HCL proposes to deploy the right mix of skill-sets and experience who would bring on table their extensive execution, domain and technical experience to execute the project with a minimum risk path.

Besides the team proposed in the Org chart, HCL's core UI practice capability is reflected in the list below:

- Rose Lynch – Project Manager
- Susan J. Lowry - Subject Matter Expert – Benefits and Appeals
- Joanne Loughney- Finstad – UI Consultant
- Swamynathan Mani Manikandan – Subject Matter Expert - UI

- Ajit Singh Chawla – Application Development Manager
- Don Avery– UI Consultant
- Nittin Jain – Content Management Lead
- Denise Collcutt – Data Architect
- Alan J. Samuels – Functional Head
- Jackie Wurster – Senior Business Analyst
- Rajesh Gaikwad – Application Development Manager
- Gurinder S, Ratol – Technical Architect
- Rakesh K. Maheshwari – Testing Manager
- Bonifacio Villanueva – Technical Manager, Data Capture Subsystem
- Donald N. Policella – Lead Trainer

A brief description of the members of the Project team is given below.

Rose M Lynch

Title

Principal – Labor and Employment

Role

Project Manager

Current Employer

HCL America, Inc.

Current Relationships

None

Languages

English

Education, Licenses and Certifications

- *Bachelor of Science, Psychology/Sociology, University of Wisconsin – Whitewater*
- *PMP Certification in Progress – Scheduled for completion August 2010*

Background

Ms. Lynch is an experienced Project manager and subject matter expert in a variety of US Department of Labor programs, specializing in UI benefits. Extensive experience leading large benefits projects for Unemployment Insurance (UI) systems, from identification of need through implementation and follow-up. Well-rounded background in UI benefits with experience as UI project manager, business analyst, supervisor, trainer, adjudicator and claims intake specialist. Thorough understanding of UI federal conformity laws relating to benefits. History with government programs, coupled with leadership roles, indicates fitting background for forward UI program goals and objectives.

Career Highlights

- Project Manager for initial phases of Wisconsin's $30 million UI tax redesign project, including documentation of core business requirements
- Project Manager of $5 million project to create the state's UI call centers Manager of solution improvements for HCL America's iGOVERN™ UI professional product.
- Project Director for $14 million multi-agency vendor contract for human services system for two state departments
- As Chief Information Officer, directed the state's UI efforts to implement business improvements to better meet the needs of unemployed workers during nation's prolonged economic crisis. Through streamlined processes, elimination of redundant and unnecessary steps, additional staffing, modified policies, and IT system changes, successfully reduced caller wait times from over 90 minutes to less than 5 minutes, reduced number of claims requiring exceptional handling by 30%, reduced adjudication wait times from 12 weeks to less than 3, and improved internet filing to alleviate pressure on phone system. As a result, Wisconsin's benefits were paid more promptly, decisions issued more timely and claim status information was made more readily available
- UI Subject Matter Expert (SME), directing multiple business and project teams for UI automation projects, overseeing all project efforts. SME for several multi-year, multi-phase projects to convert Wisconsin's chiefly manual claims taking, initial claim, monetary and adjudication subsystems to integrated IT system

Professional and Industry Experience

- Adjudicator, Chief Information Officer, Claim Staker, Claims Supervisor, Communications Director, IT Director, Project Manager, and Team Lead in Wisconsin's labor department
- Managed Wisconsin's implementation of $62 million in American Recovery and Reinvestment Act funding for UI, Vocational Rehabilitation and Employment and Training Programs

Rose M Lynch

Project Manager

- Created framework to ensure IT projects are aligned to meet department priorities, are completed on time and within budget, and meet business objectives. Framework includes: business analysis, requirements gathering, project charters, project justification, statement of work, cost/benefit analyses, communication plans, estimating and budget development, change management procedures, risk assessment and mitigation strategies; project scorecard, status reports and lessons learned documentation
- Spokesperson for Wisconsin's labor agency and programs, including all aspects of Employment and Training, Unemployment Insurance, Vocational Rehabilitation and Labor Protection laws
- Writer and editor of reports, press releases, news articles and other department communiqués

Other IT experience

Results-oriented, high-energy, hands-on professional with strong analytical and problem solving skills. Thrives under pressure and tight deadlines. Competent in: project management, business analysis, process improvement, project justification, requirements gathering, project planning, resource allocation, change management, reporting and communication, testing, training, implementation and follow up. Other strengths include: strong leadership skills; excellent communicator; capable team leader, detail-oriented; dependable; consistent follow-up; consensus builder; supervisory skills including hiring, motivation, discipline, scheduling, training and evaluation.

Name

Susan J. Lowry

Role

SME - Benefits and Appeals

Current Employer

HCL America, Inc

Current Relationship (Professional or Personal)

None

Languages

English

Education, Licenses and Certifications

- *Master's Certificate in Project Management, University of Wisconsin Executive Education*
- *Certificate in Problem Solving and Process Improvement, University of Wisconsin Executive Education*
- *BA, University of Wisconsin*

Background

Sue is a manger with 18 year experience specializing in the automation of Benefits and Appeals functionality with notable successes leading a broad range of business initiatives to provide effective technical solutions. Sue has worked as an Industry Practitioner with 36 year in the Wisconsin Unemployment Insurance Division and 3 years in private industry working with other state UI automation efforts. She has consistently demonstrated the capacity to implement innovative programs that provide improved customer service to both internal and external customers while assuring the accuracy and integrity of data is maintained in support of business functions.

Professional and Industry Experience

Sue has worked on a variety of automation projects. In addition to the large scale Benefits and Appeals modernization projects, she managed Wisconsin UI Benefits Y2K project, automated transitional UI claims, managed a vendor contract for check printing, managed an imaging and workflow implementation for adjudication, managed an emergency unemployment compensation implementation, created and tested a disaster recovery plan for UI benefits, and implemented federal and state withholding from UI check. Sue has substantial hands on experience across all stages of the software development life cycle of UI automation projects including:

- Gathering business requirements;
- Conducting cost/benefit analysis;
- Developing project proposals;
- Design;
- Testing;
- Validation;
- Managing scope;
- Training end users;
- Implementation;
- Production support; and,
- Contract management.

<u>iGOVERN™ - Unemployment Insurance</u>

Currently, Sue is involved in enhancement and release of iGOVERN™ - Unemployment Insurance ver 3.3, which will include a host of features on Benefits.

<u>Indiana UI Modernization Project</u>

Sue worked with the State of Indiana UI Division as the Benefits Functional Lead on an Integrated Benefits, Tax and Appeals application using a framework. Her assignments included documenting business requirements to maximize functionality while controlling scope/cost, designing screen layouts and navigation, functional testing for Imaging and Workflow, Adjudication, Appeals and Benefits to validate the design and defect management/resolution, and implementation planning for the Benefits functional area.

Susan J. Lowry

SME - Benefits and Appeals

Wisconsin Benefits and Appeals Automation Projects

Sue worked with the State of Wisconsin on a variety of automation projects varying in size and complexity. Her last assignment was as the UI project manager over a Benefits and Appeals Modernization project which implemented a successful Imaging and Workflow component that reduced paper storage, eliminated lost documents, made documents immediately available to all staff as images rather than routed paper, assisted staff with the management of work assignments, and assisted management with the review of work assignments and performance. Her responsibilities included providing business expertise in the design of automated systems to provide better customer service through better tools/applications; analyzing the effectiveness of new technologies to provide business solutions and make recommendation on their fit and performance; analyzing federal regulation and law changes to insure that automated systems meet federal requirements; providing cost benefit analysis for proposed solutions; performing project management of small and large initiatives; performing resource management to assure highest priorities stay on schedule and within budget through the monitoring of Service Level Agreements; analyzing business problems or systems errors, recommending solutions, and evaluate the cost effectiveness of solutions; testing current systems for error identification and resolution and new systems for core functionality and performance; and, providing training to field staff on law changes, system changes, and new technologies.

Other UI Experience

In addition to her work in automation projects, she worked 3 years in the Bureau of Tax and Accounting as a clerk, 4 years in the Bureau of Benefits as an adjudicator, and 14 years in the Bureau of Appeals as a manager.

Name

Joanne Loughney-Finstad

Role

UI Consultant

Current Employer

HCL America Inc

Current Relationship(Professional or Personal)

N*one*

Languages

English

Education, Licenses and Certifications

- *BA, Carroll College, Helena, MT*
- *Additional Masters level courses at University of Washington, Seattle and University of Montana, Missoula*

Background

Joanne is an Unemployment Insurance Consultant with over 30 years of experience in Workforce System programs, including 23 years in Unemployment Insurance (UI) programs in both the public and private sectors. Her experience includes project management, domain leadership, business analysis, business process reengineering, and business development, policy development, training provider, legislative liaison activities, operations management, fiscal analysis, subject matter expert and strategic planning. Joanne has been working in the private sector for 4 years and contracting with HCL Technologies for 6 months.

Professional and Industry Experience

- Domain Lead - Joanne participated as UI Benefits and Appeals Team Business Lead and the senior Unemployment Insurance (UI) Business Analyst for the software development vendor on the Indiana Unemployment Insurance System. She coordinated all activities on the software development with the developers, the state Benefits leads and her management peers. She supervised the Benefits Analysts and managed the business design, vendor testing and other aspects of building the system. She also worked with the management team in setting goals, assessing and addressing risks, defining the project schedule, and coordinating activities. Joanne worked on the Indiana project for nearly 4 years.
- Business Analysis and Development - Early in the State of Indiana UI project, Joanne lead gap analysis sessions to tailor the company's UI framework for the Indiana specific application. Working closely with the Indiana staff, she developed business rules through use cases, designed storyboards and defined development specifications. She provided expertise in UI laws and rules as well as System functionality. She also assisted the company's projects in other states by reviewing requirement and design documents and providing technical assistance. She developed staff training materials and mentored staff. She was part of the UI Practice Management Team's business development group assisting in developing strategic plans and was a key resource for Business Development.
- Project Manager - Joanne was the State of Montana's Project Manager for the MISTICS, a custom built, mid-tier, state-of-the-art UI benefit system, from its inception to its completion three years later. Her role included cost benefit analysis, obtaining legislative support, contract development and other initiation activities. She built a strong team and managed the entire project through all phases: requirements, design, build, test and implementation. She also managed the vendor contract and vendor relations. MISTICS won numerous awards and was the first UI Benefits system nationwide to use imaging and workflow. The innovative MISTICS system became the root design of systems in other states, including Indiana.
- Bureau During her 26 years with the Montana Department of Labor and Industry, Joanne served in a number of key positions including Chief of Benefits and Operations Bureau Chief. Joanne was responsible for UI Operations and provided leadership to the Unemployment Insurance program in strategic planning, policy development, legislation,

Joanne Loughney-Finstad
UI Consultant

management analysis, grant management and special projects. She managed federal evaluation and quality control programs such as the Tax Performance System, Benefit Accuracy Measurement, Data Validation and federal reporting, Benefit Timeliness and Quality and risk management. She also administered the UI Division budget of approximately $20 million and the $200 UI Trust Fund. She was responsible for multiple IT grants for added security, tax web registration and fraud deterrence.

- In the Benefits Bureau, Joanne managed unemployment claims processing including monetary and non-monetary adjudication, Trade Readjustment Assistance, Disaster Unemployment Insurance, Extended Benefits, benefit charging to employers, interstate, federal and military claims and the Benefit Payment Control integrity functions. She managed a staff of 45 individuals and budget of $1.5 million dollars. During her tenure, she instituted a Quality Management Program using Juran methodology to measure and improve performance and streamline services.

Other IT experience

- Joanne supervised the IT Section of the Montana Unemployment Insurance Division. She oversaw the development of numerous technological innovations, including an Internet self-service claims-taking site and a Web application for employers to file quarterly reports. She managed multiple contracts and IT projects and a mainframe tax system as well as the Benefits UI system.
- Joanne's also has experience in Project Management, Planning and Development of job training and Job Service programs.

Name

Swamynathan 'Mani' Manikandan

Role

SME – Unemployment Insurance

Current Employer

HCL America, Inc.

Current Relationship(Professional or Personal)

None

Languages

English, Hindi, Tamil

Education, Licenses and Certifications

- *MBA (Finance), Auburn University Montgomery, AL*
- *M.E (Comp Science), Birla Institute of technology & Science, India*
- *Project Management Professional certificate from PMI.*

Background

Mani has extensive experience in Unemployment Insurance and specializes in iGOVERN™ suite of products. Mani has over 20 years of experience with 14 years in State and Public sector as a functional architect and manager. Mani's experience includes project management, leadership and team development, strategic functional analysis, and business process analysis.

Professional and Industry Experience

Mani has significant experience in the analysis, design and implementation across various industries with a specialty in public sector solutions.

- Currently the manager for the UI Modernization project for the State of Virginia (Estimated US$ 40 million). Responsibilities include leading staff towards implementing a high efficient, high quality UI system, customizing the iGOVERN™ solution to meet and beat the requirements of the client.
- Manager for the Tax application in the UI modernization project for the State of Indiana (Estimated US$ 40 million). Led a team of staff that implemented the self service system and subsequent upgrades. Reviewed the business process of accounting in Tax and benefits and designed a business rules component for General ledger piece of the application.
- Business analyst and principal consultant for the Member Point application of CSAA, CA (Estimated US$ 140 million). Led a team of staff componentized, analyzed the insurance and membership component of AAA, Northern California.
- Manager for the Tax application in the UI modernization project for the State of Alaska (Estimated US$ 9 million). Led a team of staff that implemented the self service system and subsequent upgrades. Reviewed the business process of accounting in Tax and designed a business rules component for General ledger piece of the application, in addition to rating, collections, bank reconciliation process.
- Business analyst for the Automated Child support Locate, enforcement and collection system for DHHS, AL (Estimated US$ 45 million). Led a team of staff that was responsible for Case management, Location, Finance and OCSE reports.
- Business analyst for the Automated Collection tracking system for DHHS, NC (Estimated US$ 40 million). Led a team of staff that was responsible for Case management, Location, Finance and OCSE reports.
- Business analyst for the Child support system for DHHS, MD (Estimated US$ 28 million). Led a team of staff that was responsible

Swamynathan 'Mani' Manikandan

SME – Unemployment Insurance

for Case management, Location, Finance and OCSE reports.

Other IT experience

- Other areas of experience includes Billing systems for MCI and responsible for developing routines that cut the revenue losses by matching the unbilled calls to the data from switches and billing the user.
- Designed and developed the billing system for LabCorp, a medical testing company. Implemented the 'Payer' module of the application.
- Worked on multiple projects as an analyst/developer for General Electric corporation, such as corporate retirement system, Corporate air traffic system.
- Designed and developed the Traffic Performance analysis system for Singapore Telecom measuring the efficiency of the switches for various telecom providers such as AT&T, Sprint, MCI.
- Designed and developed the context sensitive help system for the Multimate product, using Microsoft QuickHelp.

Other Activities

- Volunteer teacher for language classes in the Temple in Frisco, Texas.
- Volunteer food bank and food can drive for the less fortunate and homeless in Dallas, Texas.

Name

Ajit Singh Chawla

Role

Application Development Manager

Current Employer

HCL America, Inc

Languages

English

Education, Licenses and Certifications

- *Bachelor Of Technology (Computer Science & Engineering)*

Background

Ajit is a senior manager in the iGOVERN™ practice of HCL Technologies' government vertical with deep understanding of iGOVERN™ architecture. Ajit has played a critical role in productizing iGOVERN™ Unemployment Solution. He has executed multiple projects through all phases of software development lifecycle including requirements / gap analysis, application software design, development, testing, implementation and maintenance. He has also led development of n-tier web products based on component/service oriented architecture (SOA).

Professional and Industry Experience

iGOVERN™ Unemployment Insurance Solution – Product Development – Dec '09 to Till Date

Responsibilities:

- Planning, estimation and effort management
- Product roadmap definition
- Requirements Analysis & Reviews
- Technical Design Reviews
- Scheduling and tracking
- Scope management and change control
- Team management
- Risk management
- Customer management
- Process compliance and quality assurance
- Project metrics maintenance & reporting
- Project status reporting

iGOVERN™ UI solution is HCL Technologies' flagship product for unemployment insurance agencies with Department of Labor in US states. By collecting, processing, and distributing information efficiently and accurately, the solution reduces employer administrative burdens and provides a less stressful work environment for UI employees, while paying benefits accurately and timely when due.

Ajit is responsible to leading the effort of continuous development and enhancement of the solution and manages the product engineering team in that capacity.

Nevada Child Care System, State of Nevada, US–Jan '09 to Dec '09

Responsibilities on the Project:

- Project planning
- Estimation and effort management
- Requirements Analysis & Reviews
- Technical Design Reviews
- Scheduling and tracking
- Team management
- Risk management
- Customer management
- Process compliance and quality assurance
- Project metrics maintenance & reporting
- Project status reporting

Ajit Singh Chawla

Application Development Manager

NCCS is a centralized Child Care Case Management System and its control functions, which is used by Department of Welfare and Social Services in State of Nevada for supporting subsidy programs for legitimate families who avail child care services. The system provides an end to end managing and administration capability to the state agencies which includes establishing the supported programs, their respective budgets, registering the permissible contractors, determining eligibilities of any applicant, dispensation of benefits to approved families, maintaining expenditure & revenue over a period and generating federal and state reports for records.

Wiltshire Police Authority, Hertfordshire Constabulary, UK – Aug '07 to Jan '09

Responsibilities as a Project Manager included:

- Project Management
- Work with Customer and HCL Team – Business Analysts, Developers and Testing
- Scheduling and Tracking of project
- Functional and Integration Testing
- Defect Reporting and Tracking
- User training session
- Planning & oversight of Implementation, Support and Maintenance

HCL Mobility Solution is a product developed to help enterprises reach out their existing application and solutions on to a mobile platform. The product is developed with the principle of business driving technology rather than other way around. The product is based on a SOA architecture and allows enterprises such as Police forces to implement business process across various platforms (Mobile or Workstations).

Other IT experience

-Oracle Corporation, US

- United States Automobiles Association, US

- Southern California Edison (SCE), US

- British American Tobacco (BAT), Malaysia

Name

Don Avery

Role

UI consultant

Current Employer

HCL America, Inc.

Current Relationship

None

Languages

English

Education, Licenses and Certifications

- *BA – Accounting*
- *CBM – Certified Business Manager-University of Utah*

Background

Don has extensive experience in Unemployment Insurance, having worked for the state of Utah unemployment insurance division for 31 years as UI tax auditor, UI tax audit supervisor, tax hearing representative, and UI tax director. As the tax director, he was also a project manager representing users in the successful redesign and re-engineering of Utah's UI tax computer system that included an employer self-service application and a tax auditor laptop application. Subsequent to retiring from that agency, he has worked the past 8 years consulting to companies involved in the designing, developing, enhancing, and maintaining integrated UI tax and benefit systems.

Professional and Industry Experience

2004-2009 Self-employed

Consultant Unemployment Tax Consulting (UTC)

Under contract to Tier Technology, Inc./RKV Technology, Inc. to provide UI tax consulting services on Indiana's Unemployment Insurance Modernization (UIM) project including writing use cases and flow charts to support their UI product, UI Connect, and extending those use cases to meet Indiana requirements, mapping UI Connect functionality against Indiana requirements, reviewing gap analysis deliverables, providing input into business solution and screen designs, testing business solutions, designing and testing Field Audit and Collections deliverables, and working with employer focus groups to improve the quality of deliverables.

2002-2004 AMS/CGI, Inc.

UI Subject Matter Expert (SME) Fairfax, Virginia

SME on all projects, proposals, and matters related to state and Federal unemployment insurance tax. Participated in grounding sessions, documenting requirements, and writing use cases and flowcharts on the Pennsylvania Unemployment Compensation Tax Services redesign project. Prepared responses to the UI tax business requirements and prepared business solutions on Indiana, Ohio, and New York RFPs. Prepared use cases and flowcharts to support AMS/CGI's AMSUIT UI tax solution. Prepared UI tax overview document, UI Tax 101, and conducted training session with project staff. Prepared project management plans and process flowcharts for the California Child Support Automation System (CCSAS) project.

1991-2002 Utah Dept.of Workforce Services

Chief of Contributions Salt Lake City, Utah

Maintained programs and managed staff to ensure employer UI tax and New Hire Reporting compliance. Project co-leader representing and working with users to redesign and re-engineer Utah's UI tax computer programs and workflows. The project received the Governor's 2000 Technology Award and was a DOL 2000 National Customer Service Awards Finalist. Project leader responsible for working with the Utah Department of Workforce Services and the Utah Office of Recovery Services to establish Utah's New Hire Reporting program.

Don Avery
UI Consultant

1981-1991 **Utah Dept. of Employment Security**
Field Audit Manager **Salt Lake City, Utah**

Maintained programs and managed staff to audit employers, collect delinquent reports and payments, make status determinations, and resolve obstructed UI claims. Consultant to team assigned to develop a new laptop program for conducting UI tax audits. The new program electronically populates the worksheets with pre-audit information; includes all necessary work papers and forms for conducting the audit; allows the auditor to use their portable printer to scan accompanying documentation into their audit report; accepts employer's signature on final audit via electronic signature pad; facilitates electronic supervisory review and approval; and transmits audit results to the mainframe computer.

1980-1981 **Utah Dept. of Employment Security**
Contributions Hearings Rep **Salt Lake City, Utah**

Conducted hearing on appeals from employers contesting UI tax determinations.

1971-1980 **Utah Dept of Employment Security**

1971-1981 **Field Auditor** **Salt Lake City, Utah**

Contacted employers to conduct unemployment insurance contribution audits, secure delinquent contribution reports, collect past due amounts, make determinations with respect to tax status, and investigate and resolve obstructed UI claims for benefits.

Other Accomplishments

2002	Utah Dept. of Workforce Services	Manager of the Year
200	State of Utah Governor's	Manager of the Year

Name

Nittin Jain

Role

Lead - Content Management & Workflow

Current Employer

HCL America, Inc

Languages

English

Education, Licenses and Certifications

- M.*Sc (IT), KSOU, Karnataka, India*
- *IBM FileNet Certified Solution Architect*

Background

Nittin has extensive experience in Content Management and Workflow implementation in Unemployment Insurance Domain. He also has strong experience in application software design, development, testing, implementation and maintenance in various domains with 3 years of strong experience in Unemployment Insurance domain with state of Indiana and Louisiana. Nittin is IBM FileNet Certified Architect and has experience in deploying solutions based on Java, J2EE, SQL Server, Oracle and FileNet P8 environment. Nittin has also been part of the Engineering team involved with development of various products for FileNet Corp (now part of IBM group).

Professional and Industry Experience

Nittin has substantial experience in Solution Development experience and have comprehensive expertise in Document and Content Management, Technology Leadership, Competency Development, Solution Envisioning, Solution Architecture, Development, Testing, Implementation, Project Leadership, Mentoring, Agile Development Methodologies and Software Quality.

Department of Workforce Development (DWD), Indiana

Nittin played a key role in evolving System Architecture, Development and its implementation for Unemployment Insurance modernization as Technical Architect and Functional Lead for Imaging and Workflow module. He was responsible for automation of various business processes across tax, benefits and Appeals. He was also involved in further expansion of all common foundational components such as Imaging, Workflow and Correspondence Management. Nittin completely owned the designing and implementing complete Adjudication Sub System, Automated Work Distribution and FileNet based modern workflow solution powered by its native Content Management component made a huge positive difference in the overall productivity and customer satisfaction level for the Agency.

Louisiana Workforce Commission (LWC), Louisiana

Nittin played a substantial role in building foundational pieces of the modern Unemployment Insurance Solution for the Louisiana Workforce Commission (LWC). Under the scope of this project he was responsible for implementing a Modern Capture System, Automated Remittance System, Modern Workflow System and Centralized Content Repository. These Solution components were assembled in to a single solution to capture entire paper correspondences (forms, Checks etc), extract the data and feed it to the downstream components of the solution such as Modern Workflow System, Content Management System, Automated Work Distribution, Core Data Processing and Remittance System. Core Data Processing System is also receiving information collected from LWC's existing online systems. The Solution is intended to integrate with the LWC's IVR System and Mainframe based Systems as well.

Nittin Jain

Lead - Content Management & Workflow

Other IT experience

Online Electronic Disclosure Statement (Online EDS), City Of Chicago

Nittin has played the role of Technical Architect for replacing existing paper-based process for the submission and approval of Economic Disclosure Statements (EDS) with a custom web-based application and FileNet P8 document management and workflow system. He was responsible for Requirement Analysis, Designing, Implementation, Packaging and Release of the new online web based system. The goal of this system is to improve the effectiveness and efficiency of back office operations, to increase public transparency of EDS documents and to streamline the overall City contract bidding process for vendors.

Application Connector for SAP (J2EE), FileNet Corp. (Acquired by IBM)

Nittin has also worked in the extended division of FileNet Engineering. This division was focused on developing the FileNet P8 product lines and maintaining several Panagon products. FileNet's Record Manager, ISRA, Connector's for SAP & Siebel are some of the products that this centre was responsible for. This Engineering centre was also involved in providing Engineering Support for Web Services, IDM Desktop, Open Client, Acenza and Content Services products of FileNet. It was combination of executing full SDLC product development and Software Maintenance/Support projects. Nittin played a significant role as a Lead Developer in implementing IBM FileNet Application Connector for SAP R/3 (J2EE) which enhances SAP business infrastructure with archival and portability support through the content management and business process management of IBM FileNet P8 Platform

Name

Denise Collcutt

Role

Data Architect

Current Employer

HCL America, Inc.

Current Relationship

None

Languages

English

Spanish

Education, Licenses and Certifications

- *BS, Computer Engineer, Universidad Simón Bolívar; Caracas, Venezuela*
- *Systems Engineer Development Program, EDS, Plano, TX*

Background

Denise has more than 12 years experience in the public sector working on multi-million state IT Modernization projects, majority of which are in Unemployment Insurance solutions, in addition to several years in the private sector performing IT consulting and Business Process analysis. More than 15 years have been dedicated directly to structured analysis, requirements determination, technical database design, Data and Process Modeling and conversion data migration technical leader role.

Experience includes IT implementations in n-tier, web browser open based component/service oriented architecture (SOA) across all phases of the System Development Life Cycle; quality assurance; testing; and Project Management tasks. Denise has also provided extensive technical and system training to both customers and staff.

Past customers have noted her excellent relationship and commitment to successful implementation, high problem-solving skills, impact analysis and extremely detail oriented during change management and issue resolution areas.

Professional and Industry Experience

UI Modernization Projects

State of Virginia - Employment Commission VEC Project– Current, Data Architect

Initial planning stage to implement a fully integrated Service Oriented Architecture solution to replace VEC's core automated UI business systems.

Key Responsibilities: Denise's main responsibility is leading and planning the effort to design and convert all VEC UI Benefits, Wages, and Tax data, resident within the legacy systems, to the final relational databases, following VEC's functional business rule requirements.

Department of Workforce (DWD), State of Indiana – 2006 – 2010, Data conversion team lead; Senior Business Analyst

Multi-million dollar project using UI solution framework aimed at redesigning and integrating the agency's enterprise legacy system into newer n-tier, open web-based J2EE/XML technology. The first phase of the project involved implementing successfully January 07 the Self Service components, web-enabled and user friendly front-end applications to DWD's current Benefits and Tax Legacy system.

Key Responsibilities: Analysis of current systems functionality and state business rules; performed requirements gathering with Agency staff through gap analysis sessions; Created Data models and data mapping and transformation specifications; Relational database and systems integration design; developed specifications for interfaces with external systems; tested conversion scripts and loads; customer support and defect management; project management tasks and quality control.

Department of Labor and Workforce, Juneau Alaska - UI Tax system 2001-2002, Senior Business Analyst

The initiative, known as the Employment Security Tax Redesign (ESTeR),

Denise Collcutt
Data Architect

was undertaken to better serve employers and enable more efficient interaction with the system's user community. ESTeR was the third and final major element of the agency's enterprise application family, and was a key part of the department's enterprise model and integrated database.

Key Responsibilities: Established Division's standards, quality-programming techniques. Analyzed and developed business process flows, use cases and UI screen – batch specifications. Project Leader for a small team (5) ensuring project plan completeness and on-time delivery during the analysis and design phases for the areas of Employer Registration, Rating and Accounting – Field Audit Laptop application. Quality assurance of all deliverables for consistency and completeness. System Tester during the development and coding phase.

Other IT experience

State of Texas (TCEQ) – Texas Commission on Environmental Quality 1998- 2003, Technical Project Leader Consultant

Successfully deployed into production 3 GUI n-tier Client/Server SOA applications before the deadline and under budget ($6 Million), integrating and centralizing all information for the commissioners regarding Registrations, Investigations, Enforcement Cases, Violations, and Licensing. These solutions reused 70% of the component services already developed in the agency.
Key Responsibilities: Implemented and executed project plan leading a team of 10+ developers through the whole development process from design to installation. Ensured SOA standards and procedures were followed, mentored and trained developer staff; performed infrastructure and database design, model management, and quality assurance. Analyzed and developed functional specifications for the Central Registry Project. Coordinated User Acceptance Testing, Conversion Design and Development of two of the major databases involved. Developed change control management, service deployment and versioning strategy documentation as SOA procedures for the agency.

- *The Innovation Group (TiG) 2003 - 2006*
- *Training Coordinator,Electronic Data Systems (EDS) Venezuela and Plano TX Headquarters 1989 – 1998*
- *Systems Engineer – Technical Trainer – IT Consultant*

Name

Alan J. Samuels

Role

Functional Head - Unemployment Insurance

Current Employer

HCL America, Inc.

Current Relationship

None

Professional and Business Affiliations

- *Member, Project Management Institute*
- *Member, Guild of Unemployment Insurance Professionals*

Languages

English

Education, Licenses and Certifications

- *BBA – Finance*
- *MS – Management Information Systems*

Background

Alan is a data processing professional with over nineteen years experience in managing, designing, developing, enhancing, and maintaining large-scale, integrated business applications. He has extensive experience in systems analysis, programming, testing, performance tuning, implementation, and project management of application database systems, with a specialization in Unemployment Insurance. Having many years of experience and served on multiple projects in a Project Manager capacity, Alan is currently pursuing his designation as Project Management Professional (PMP) from the Project Management Institute (PMI).

Professional and Industry Experience

Indiana Department of Workforce Development

Served as Tax Domain Lead and Project Manager for the Unemployment Insurance Modernization project (UpLink). Responsible for design oversight, requirements gathering, and functional domain integration, as well as overall project planning and deliverable management. Managed multiple releases of production deployments which generated high profile efficiency improvements for the agency. Project team consisted of approximately 55 vendor staff and 45 state staff.

Wisconsin Department of Workforce Development

Project Manager representing and leading a vendor team of approximately fifteen team members on the Wisconsin EnABLES UI Benefits modernization project. As Project Manager, responsibilities included defining release project plans, monitoring progress of tasks for entire project team of approximately 45 state and vendor resources, management reporting and presentations, budget analysis, and contract management.

Missouri Department of Labor and Industrial Relations

Project Director for the agency's Benefits and Tax requirement definition and employer self service portal design projects. Responsible for overseeing project activities including project management, deliverable review, and quality assurance, and interaction with client senior and executive management teams.

Alaska Department of Labor (UI Tax)

Project Manager for system design, development, and implementation services for the Alaska Department of Labor Division of Employment Security effort to redesign its Unemployment Insurance Tax system. The initiative, known as the Employment Security Tax Redesign (ESTeR), was undertaken to better serve employers and enable more efficient interaction

Alan J. Samuels

Functional Head - Unemployment Insurance

with the system's user community. Its primary focus was to redesign, integrate, and implement in newer technology a legacy application that interfaced with the Agency's UI Benefits and ES applications. ESTeR was the third and final major element of the agency's enterprise application family, and is a key part of the department's enterprise model and integrated database.

Alaska Department of Labor (General)

Involved with multiple client engagements including post-production support and enhancements of enterprise applications, and design and development of the agency's Worker Profiling & Re-employment Services application.

Alaska Department of Labor (UI Benefits)

Lead Developer for the UI Benefits re-engineering project that included full development life cycle (analysis, design, specification and application development, construction, testing, performance tuning, implementation, and maintenance). Key contractor resource involved in training, mentoring and coaching a team of client developers responsible for system maintenance.

Other IT Experience

Alan has worked with several clients outside of the unemployment insurance domain, both those within the public and private sectors. He has provided professional IT Services for various other state agencies including Missouri State Highway Patrol and State of Kansas Child Support Enforcement Agency, and large corporate clients including Coca Cola, St Paul Travelers Companies, and Xcel Energy (formerly Northern States Power Company).

Name

Jackie Wurster

Role

Sr. Business Analyst

Current Employer

HCL America, Inc.

Current Relationship

None

Professional and Business Affiliations

Member, Guild of Unemployment Insurance Professionals

Languages

English

Education, Licenses and Certifications

- *BS Business Administration - Accounting*
- *AS Accounting*
- *State of Utah Certified Public Manager Certificate*

Jackie Wurster

Sr. Business Analyst

Background

Currently working as a Business Analyst, Jackie is a Subject Matter Expert in the Unemployment Insurance field. Specializing in tax audit functions, she has over 30 years of extensive experience.

Professional and Industry Experience

Indiana Department of Workforce Development

Business Analyst / Subject Matter Expert for the Unemployment Insurance Modernization project. Responsible to work closely with State Staff and developers in the design of a Field Audit Laptop Application, designed storyboards, and wrote supplemental specifications. Functioned as a UI Subject Matter Expert; responsible for BA testing and defect management.

New Mexico Department of Workforce Solutions

Business Analyst / Subject Matter Expert for the Unemployment Insurance System Requirements deliverable. Responsibilities included developing system requirements and business process use cases. Assisted in Joint Requirements Management sessions to review and modify use cases. Update and Modify System Requirement Specifications deliverable to ensure consistent data throughout.

Utah Department of Workforce Services

Unemployment Insurance Tax Field Audit Supervisor. Temporary assignment during the final design and implementation of Contributions Automated Tax System (CATS). Provided and trained staff for CATS testing. Leader of the team selected to design and implement a laptop application for conducting Unemployment Insurance Tax Audits. Responsible for writing the laptop application help text and Field Audit Policy and Procedure manual.

Other IT Experience

- Conducted the Unemployment Insurance portion of the Small Business Tax Workshops sponsored by the Utah State Tax Commission and Dixie Business Alliance.
- Served as the Unemployment Insurance Tax representative for the Y2K business contingency plan.
- Temporary assignment to work as a liaison between Central Office Claims and Contributions to resolve obstructed claims. Functioned as a resource to staff in Central Office claims and Benefit Payment Control regarding employer status issues and procedures for resolving obstructed claims. Assisted in issuing charge / non-charge decisions.
- Statistical technician in the Labor Market Information division responsible for compiling Federal time lapse data and weekly / monthly staffing reports.

Rajesh Gaikwad

Role

Application Development Manager

Current Employer

HCL America, Inc.

Current Relationship

N*one*

Languages

English

Education, Licenses and Certifications

- *Bachelor Of Engineering (Electrical & Electronics)*
- *PMI Certified*
- *FileNet Developer Certified*

Background

Rajesh is an experienced Manager specializing in development, implementation, and customization of software. He has been involved in handling various project activities such as managing expectations of the project stakeholders; project planning, project management, task allocation, client liaison, functional and development team management, JAD coordination, requirement analysis & design. His project experience consists of managing and leading teams and contributing to successful execution of projects. These engagements involved functional areas like **Unemployment Insurance**, Workers Compensation, Child Care, Child Welfare, Frauds Investigation and Public Assistance Case Management.

Experience includes IT implementations in n-tier, web browser open based component/service oriented architecture (SOA) across all phases of the System Development Life Cycle; quality assurance; testing; and Project Management tasks. Past customers have noted his detailed planning, excellent team management involving more than 75 individuals, customer relationship, account management skills and commitment towards ensuring a successful implementation.

Professional and Industry Experience

Unemployment Insurance Domain

iGOVERN™ Unemployment Insurance Solution

Currently responsible for managing and leading the stabilization of the **iGOVERN™ Unemployment Insurance** solution. Responsibilities include managing and tracking development & test team activities, providing technical guidance and support, planning & budgeting for resources, resource ramp up in technical and functional areas, track issues and risks, define quality processes to be followed and ensure quality compliance.

State of Virginia - Employment Commission

Role: Application Development Manager,

Project Description: Modernization of existing UI legacy system and provide an integrated n-tier, web based solution.

Key Responsibilities on the Project:

- Define the Software Development Life Cycle and Development standards for the Project
- Contract Management
- Lead the Project Design, Development & Testing effort
- Allocate responsibilities for design, development, testing, deployment and release activities
- Review & approve Technical decisions related to the project
- Organize peer review of various work products produced during the project life cycle,
- Provide technical guidance and support to development team
- Participate in issues tracking and closure of technical & non-technical issues,
- Provide inputs to Estimation
- Plan for Development Resources
- Ensure Quality and Audit Compliance

Rajesh Gaikwad

Application Development Manager

- Participate in data architecture activities of the project
- Identify corrective & preventive actions based on the customer reported defects / review defects / other issues/ deviations and escalations

State of Connecticut – Department of Labor - Employment Commission **Role:** ***Application Development Manager, Project Size: 320 PM***

Project Description: The system was deployed over a period of 2 years and provided integrated access to employer and claim related data for users from the various Tax and Benefit program areas. The system provided controlled access to users based on their defined roles, provided centralized storage, automated work assignment, automated workflow, allow employers to submit documents and data online, exchange data with the existing legacy systems and provide cross match with external entities such as department of corrections and department of health and human services.

Key Responsibilities on the Project:

- Handling program activities including contract execution, budgeting and relationship management with clients.
- Managing all project related activities including requirements definition, design, development, testing activities
- Ensure staff availability & timely deliveries.
- Providing direction to and coordinating the project team of over 15 individuals at onsite and offsite

Other IT experience

Rajesh has experience deploying Projects in 13 different State Agencies. A few of the other State Agencies where Rajesh has managed and implemented projects are:

- State of Washington Department of Labor & Industries – Size 580 PM
- State of New York Department of Public Utilities Commission – Size 440 PM
- State Of Tennessee Department Of Labor – Size 600 PM
- State Of Georgia Department Of Revenue – Size 310 PM
- State Of Florida Department Of Education– Size 120 PM

Name

Gurinder S. Ratol

Role

Technical Architect

Current Employer

HCL America, Inc.

Languages

ENGLISH

Education, Licenses and Certifications

- *Bachelor Degree in Engineering*
- *Post Graduate Diploma in Advance Computing*
- *SCJP,SCWCD*

Background

Gurinder Ratol is a highly experienced Technical Architect with over 10 years of extensive experience in Architecting end-to-end enterprise scale solutions using modern Tools and Technologies.

He has in-depth functional understanding of Unemployment Insurance business domain and is the key player in architecting / building of the iGOVERN™ Solution framework. He provides subject matter expertise to identify and translate the UI requirements into software architecture and design. He also ensures the quality development of internal and external work products and author's client-oriented technical documentation. He has proven abilities of recommending workable solutions to unique business and operational requirements of the UI Agencies.

Professional and Industry Experience

Gurinder has substantial experience architecting/designing enterprise applications using latest technologies with focus on Unemployment Insurance solutions (iGOVERN™). Gurinder has comprehensive expertise in Integration of iGOVERN™ with different applications/systems, Technology leadership, Solution envisioning, Development, Testing, Implementation, Project Leadership, Mentoring, Agile Development Methodologies and Software Quality.

Virginia Employment Commission (VEC), Virginia

Gurinder is leading the architecture team for Unemployment Insurance Modernization for Virginia Employment Commission. He played key role in selection for tool and technologies for iGOVERN™ Solution for VEC. He is responsible for Customizing and enhancing iGOVERN™ solution architecture for Virginia Employment Commission needs. He is responsible for application as well as solution upgrades to make iGOVERN™ with latest tools and software.

Department of Workforce Development (DWD), Indiana

Gurinder played key role in defining the functional Architecture of UI Connect and segregation of entire business function set in to the Self Services, Collaboration, Information Aggregation, Portable Clients and Extended Enterprise elements. He played active role in selection of Tools, Technologies and Of-the-shelf products to fulfill the current and future needs of UIConnect. He Mentored Development Teams and Junior Architects throughout the project for the customizable frameworks for iGOVERN™ product like Security framework, Batch Framework etc, Integration of iGOVERN™ Solution with external systems/sub systems for real time as well as scheduled request. He worked with Customer IT Staff and other project stakeholders for executing various project plans including Go-Live, Data Conversion, Data Smoothing, Content Conversion, Migration, Intermediate Releases, and Rolling out the Critical Fixes etc.

Gurinder Ratol

Technical Architect

Other IT experience

Integrated MIS for a State Government

Gurinder was Technical Architect for IMIS solution. He defined the Solution Architecture and prepared range of technical artifacts to present the Solution and its technical details. He created base framework for IMIS. He was responsible for designing and implementation of business process automation using BPEL4WS and integration of workflow solution with overall solutions. He developed JMS based enterprise wide Inter/Intra application integration broker architecture. He was responsible for use cases prioritization based on Technical Risk and evolving the Technical Architecture. He developed, enhanced, and maintained reference architectures for various capabilities

Thomson Healthcare Internet Delivery System

Gurinder was responsible for the analysis of Functional as well as Non-functional requirements and transformed those requirements into Technical Specifications. He was responsible for the design and development of Common Business Object Framework and Search Engine to encapsulate the complex multi-pass searches and integration of different applications. He played key role in selection of appropriate J2EE based IBM products such as WebSphere, Integration Server, Domino Server, Portal Server, Tivoli Server etc. He was responsible for execution methodology using best practices. He Mentored Development Team and Testing Team, worked very closely with QA/QC analyst to deliver high quality Solution

Name

Rakesh K. Maheshwari

Role

Manager-Testing

Current Employer

HCL America, Inc.

Current Relationship

None

Professional and business Affiliations

APMG

ISTQB

Languages

English, Hindi

Education, Licenses and Certifications

- *Bachelor of Technology, CSJM Kanpur University*
- *Prince2TM Project Management Practitioner*
- *Certified Tester, ISTQB*

Background

Rakesh is a Manager-Testing in HCL's iGOVERN™ Citizen Centric product practice with a combined experience of over 8 years working in the public sector as well as private sector. His experience includes conceptualization and development of B2B and B2C business solutions and Managed Testing Services engagements. He has extensive experience in Project and Test Management, including planning, scheduling, controlling, managing and tracking activities over the entire SDLC and STLC with a strong customer orientation.

Professional and Industry Experience

Rakesh is a PRINCE2 Certified Practitioner and ISTQB Certified Tester and has substantial experience in setting up, leading and managing testing services for IT projects across several industries.

iGOVERN™ Unemployment Insurance Solution

Rakesh is serving as test manager for Product Engineering initiative for HCL's iGOVERN™ – Unemployment Insurance solution since December, 2010. His responsibility areas include - establishing product quality goals; define quality criteria for incremental releases in tandem with SMEs; implementation of testing process; setup of verification and validation procedures; provide technical leadership for design and development of the product test battery; execution planning; defect management; test automation strategy development; and application of relevant test strategies. Rakesh is actively engaged in release planning & scoping; scope management; test estimation; test planning; test team build up and mentoring; scheduling, tracking and control of test activities; collation and publishing of project health statistics to all stakeholders for release packages.

HCL Mobility Solution

Rakesh formed the core group responsible for HCL's Mobility Solution product conceptualization and development of business case; technology reference framework; and technical and functional architecture of the solution. He further served as the test manager for product development iterations for site-deployment and SaaS technology variants; operational policing processes and retails functional variants; of the product and was actively involved in product benchmarking; pre-sales and marketing collaterals and peripherals creation for the product. His test management responsibilities included release planning and scope management, requirements analysis and test specifications development, testing solutions design, testing framework architecture and test strategy design, effort and cost estimation, resource planning and requisition, test deliverables development, tracking, review, test environment configuration, test execution planning and defect management. As a product specialist, he was responsible for development of acceptance criteria with customer engagement teams and setting up of product quality expectations.

Cable & Wireless plc.

Rakesh served as the test manager for Cable & Wireless's Accelerator Package development and deployment project. The project was part of National Policing Improvement Agency's managed program to accelerate the role out of mobile information systems to police forces. Cable and

Rakesh K. Maheshwari
Manager-Testing

Wireless partnered with HCL as its application service provider to deliver services nationally through provision of a central infrastructure hosting HCL Mobility Solution.

Hertfordshire Constabulary

Rakesh served as test manager for HCL Mobility Solution customization and implementation project for Hertfordshire Constabulary's Mobile Information Project. The project objectives were to build mobile and remote solutions for data input & retrieval, and secure information exchange to support 18 operational and reassurance policing processes from field as an operational capability to eliminate bureaucracy and free up beat officer's time for front-line duties and deliver effective policing. He was actively involved in customer expectation realization, issue resolution, proactive communication, and conflict management.

Other IT Experience

LexisNexis inc.

Rakesh served as a lead staff for a long term ADM engagement with LexisNexis inc. and was responsible for setup, execution and steady state achievement of specialized testing services for their content development, enrichment and storage workflow platforms; and mission-critical content search and retrieval engine infrastructure.

Other Activities

- Member, Defect Prevention Council
- Six Sigma - Yellow Belt
- HCL Certified Internal Trainer for 'Value Creation and Innovation

Bonifacio Villanueva

Role

Technical Manager, Data Capture Subsystem

Current Employer

Impression Technology, Inc

Current Relationship(Professional or Personal)

None

Professional and business Affiliations

None

Languages

English

Spanish (Fluent)

Education, Licenses and Certifications

- *BS, Computer Science San Francisco State, 1992*
- *BS, Business Administration San Francisco State, 1992*

Background

Mr. Villanueva has been with Impression Technology since 1998 and he serves as both a Technical Manager and Project Lead on engagements within the Public Sector. Prior to joining Impression Technology he was a Senior Systems Engineer in the Government Solutions Group of SHL Systemhouse focusing on the design, development and implementation of large scale imaging and data capture solutions. Areas of specific expertise include software development and customization, graphical user interface design, system integration and training.

Professional and Industry Experience

Mr. Villanueva's most recent engagements include:

- Served as the Technical Manager and Assistant PM for the State of Louisiana LaCATS UI Modernization project for all automated data capture, remittance and imaging integration. Performed the Detailed Design, lead the development team and responsible for installation, testing and acceptance of the LaCATS iCapture solution.
- Served as the PM and Technical Lead for multiple engagements with the Oregon Employment Department. Has lead seven projects over the past nine years including data capture and imaging engagements for OED's Tax, Benefits and Adjudication Divisions. All engagements delivered on schedule and budget.
- Senior member of the California Employment Development Department Project team for Impression Technology is the Tax Engineering and Modernization Project and the Document Management Resource Consolidation efforts. Responsible for system designs in data capture, software customization, installation and EDD staff training. Each project was a multi-year engagement and the value of these projects exceeded $80M.
- Member of the development team for Impression Technology engagements with the Indiana Department of Workforce Development and Michigan UI Agency. Customized iCapture software to meet project requirements, lead integration efforts to FileNet ECM and client host business systems and lead testing on both.
- Member of the Impression development team for projects with Ohio Tax, Washington DOR, California Board of Equalization (Sales Tax Processing) and California Child Support. Responsibilities included system design activities, software customization, installation and integration, testing and end-user training.
- Senior Technical Lead for Impression Technology project for the Department of the Treasury, Commonwealth of Puerto Rico. Participated in the design, development and implementation of a bi-lingual data capture and imaging solution for all Tax Processing.

Bonifacio Villanueva

Technical Manager, Data Capture Subsystem

Other IT experience

As a member of the Technology Network at SHL, Mr. Villanueva was a member of the development team for projects including;

- Federal Government of Mexico, Tax Division ("Hacienda"), the Mexico IRS equivalent, for the design, development and implementation of an automated data capture/imaging system for all taxes within Mexico. This was a bi-lingual system that was installed in seven locations throughout Mexico and it included high speed scanning, OCR/ICR recognition and distributed client-server processing.
- Member of the development team for the MCI Human Resources Information System which included centralized and distributed scanning, automated recognition and a complete ECM/workflow solution.
- Member of the development team for the State of Mississippi Automated Data Capture solution for Tax processing. Responsibilities included design activities, software customization, installation, integration, testing and end-user training.
- Member of the development team for the Teranet Land Titles System for Toronto, Canada. Responsibilities included design activities, software customization, installation, integration, testing and end-user training.

Software Development skills include Microsoft .NET, C#, Microsoft Visual C++, JAVA, MicroSoft VB, Advanced WIN32, Pascal, COBOL, X-Windows with OSF/Motif Tollkit, Dataflex, SQL, Assembly and Paradox. Extensive experience with all MicroSoft OS, Windows, HP/UX and UNIX

(Photograph not available)

Name

Donald N. Policella

Role

Lead Trainer

Current Employer

University of South Florida

Current Relationship(Professional or Personal)

Director and liaison for two separate contracts between USF and the Department of Children and Families (State of Florida).

Professional and business Affiliations

Department of Child and Family Studies Governance Council – Member

Languages

English

Education, Licenses and Certifications

- *Master of Science*
  State University of New York at Albany
- *Bachelor of Arts*
  State University of New York at Albany
- *Certified Rehabilitation Counselor:*
  Certified Child Protection Professional, Florida DCF

Background

Program Director
Division of State and Local Support
College of Behavioral and Community Sciences
Louis de la Parte Florida Mental Health Institute
University of South Florida
February, 2007 – Present

Project Director
Principal Investigator for Community-Based CareTechnical Assistance Partnership
College of Behavioral and Community Sciences
Louis de la Parte Florida Mental Health Institute
University of South Florida
February, 2003 – February 2007
July 2008 – Present

Government Analyst I
Florida Department of Children and Families - SunCoast Region
Contract Performance Unit
September 2002 – January 2003

Regional Program Administrator - Family Safety
Florida Department of Children and Families - SunCoast Region
February 2001 – September 2002

Family Services Specialist - Contract Management
Florida Department of Children and Families
Family Safety Program Office - District 5
Pinellas and Counties, Florida
August 1997- February 2001

Supervisor- Child Protective Investigations
Florida Department of Children and Families
Pinellas County Florida
April 1991 -July 1997

Investigator- Child Protection Investigations
Florida Department of Health and Rehabilitative Services
Pinellas County Florida

Donald N. Policella
Lead Trainer

April 1990 - April 199

Professional and Industry Experience

Program Director

Director and Principal Investigator - The Center for the Advancement of Child Welfare Practice, includes Florida's Center for the Advancement of Child Welfare Practice and the Western and Pacific Child Welfare Implementation Center web portal. Oversee project development, implementation, promotion, fiscal and personnel management and administration. The Center provides web-based information, collaboration, webinars, and training services for child welfare and related professionals; classroom and field-based training and support for SACWIS case management and out-of-home care components.

e. The Respondent response must include a Project Manager who is PMP certified

HCL's team has Rose Lynch as the Project Manager, who is pursuing PMP certification and will be certified by August 2010.

8.2 Senate Bill 2386

HCL's response to Senate Bill 2386 is stated below:

S. No.	Projects executed in Florida	Brief	Location from which this project was executed	Existing no. of employees in the state	Type of employees in the state
1	Florida Department of Financial Services – Division of Workers' Compensation	Developed an Imaging system for the Judges' field offices in 17 locations (statewide), and linked the Office of Chief Judge with the FileNet system installed at DWC in Tallahassee.	Tallahassee, Florida	1 (providing annual maintenance and support)	FileNet Engineer
2	Florida Department of Financial Services – Division of Insurance Services	FileNet ECM system Maintenance is being provided by HCL to DFS	Tallahassee, Florida	1 (providing annual maintenance and support)	FileNet Engineer
3	Florida Department of Financial Services – Division of Risk Management	Developed an Electronic Document Management System	Tallahassee, Florida	1 (providing annual maintenance and support)	FileNet Engineer
4	Florida Department of Education – Bureau of Educator Certification	HCL implemented an Imaging component using FileNet products to integrate with the Department of Education's Teachers' Certification System	Tallahassee, Florida	1 (providing annual maintenance and support)	FileNet Engineer
5	Pasco County	HCL Implemented County wide FileNet ECM	New Port Richey, Pasco County, Florida	1 (Providing annual Maintenance and Support)	FileNet Administrator / Analyst

		Systems for County Operations			
6	South West Florida Water Management (SWFWMD)	HCL performed an Enterprise Content Management Strategy Initiative – Management Consulting to SWFWMD	Tampa, Florida	None	None

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9. ATTACHMENTS

9.1 AWI Solicitation Acknowledgement Form

AGENCY FOR WORKFORCE INNOVATION

INVITATION TO NEGOTIATE

Solicitation Acknowledgement Form

Page 1 of 137 pages	SUBMIT RESPONSE TO: Agency for Workforce Innovation, Office of Procurement and Contract Administration, 107 East Madison Street, B-647, Tallahassee, Florida 32399-4128, Telephone Number: 850-245-7455
AGENCY RELEASE DATE: May 14, 2010	
SOLICITATION TITLE: Unemployment Compensation Claims and Benefits Information System Design, Development, and Implementation	SOLICITATION NO: 10-ITN-001-SS

RESPONSES WILL BE OPENED: July 16, 2010, 3:00 p.m., EST and may not be withdrawn within 365 days after such date and time.

RESPONDENT NAME: HCL America, Inc.		
RESPONDENT MAILING ADDRESS: 1950 Old Gallows Road, Suite 555		
CITY – STATE – ZIP: Vienna, VA 22182		*AUTHORIZED SIGNATURE (MANUAL)
PHONE NUMBER:	(408) 328-7666	
TOLL FREE NUMBER:		Vasu. D. Srinivasan, Vice President, Public Services, Government
FAX NUMBER:	(703) 891-0401	*AUTHORIZED SIGNATURE (TYPED), TITLE
EMAIL ADDRESS:		
FEID NO.:	77-0205035	*This individual must have the authority to bind the Respondent.
TYPE OF BUSINESS ENTITY (Corporation, LLC, partnership, etc.):	Corporation	

I certify that this Response is made without prior understanding, agreement, or connection with any corporation, firm, or person submitting a response for the same materials, supplies or equipment, and is in all respects fair and without collusion or fraud. I agree to abide by all conditions of this response and certify that I am authorized to sign this response for the Respondent and that the Respondent is in compliance with all requirements of the Invitation to Negotiate, including but not limited to, certification requirements. In submitting a response to an agency for the State of Florida, the Respondent offers and agrees that if the response is accepted, the Respondent will convey, sell, assign or transfer to the State of Florida all rights, title and interest in and to all causes of action it may now or hereafter acquire under the Anti-trust laws of the United States and the State of Florida for price fixing relating to the particular commodities or services purchased or acquired by the State of Florida. At the State's discretion, such assignment shall be made and become effective at the time the purchasing agency tenders final payment to the Respondent.

RESPONDENT CONTACTS: Please provide the name, title, address, telephone number and e-mail address of the official contact and an alternate, if available. These individuals shall be available to be contacted by telephone or attend meetings as may be appropriate regarding the solicitation schedule.

PRIMARY CONTACT:		SECONDARY CONTACT:	
NAME, TITLE:	Brian Bennett, Director	NAME, TITLE:	Joseph Abraham, Sr. Vice President
ADDRESS:	1950 Old Gallows Road, #555, Vienna, VA 22182	ADDRESS:	1950 Old Gallows Road, Vienna, VA 22182
PHONE NUMBER:	(916) 941-6177 / (916) 798-2540	PHONE NUMBER:	(408) 328-7666
FAX NUMBER:	(703) 891-0401	FAX NUMBER:	(703) 891-0401
EMAIL ADDRESS:	bbennett@hcltech.com	EMAIL ADDRESS:	jabraham@hcltech.com

An equal opportunity employer/program. Auxiliary aids and services are available upon request to individuals with disabilities. All voice telephone numbers on this document may be reached by persons using TTY/TDD equipment via the Florida Relay Service at 711.

AWI Solicitation No. 10-ITN-001-SS, Page 1 of 137

9.2 Attachment A – Reference Form

ATTACHMENT A – REFERENCE FORM

Below we provide references from HCL previous UI clients. Much of our UI solution (iGOVERN™ UI formerly UI Connect from RKV and Tier Technologies) experience and qualifications in 19 different states comes from the acquisition of RKV and Tier Technologies' National UI Practice and solution. As the Tier and RKV National UI references were not direct HCL clients, we did not feel that it was appropriate to list references these clients.

As discussed earlier in our proposal, UI Connect (now iGOVERN™ UI) has been implemented in states such as Indiana and Louisiana. Most recently HCL was selected by the Commonwealth of Virginia to provide a completely integrated UI tax, benefits and appeals system using iGOVERN™ UI as the base solution. The aforementioned National UI Practice from Tier that was acquired has also successfully implemented UI call center solutions in 6 states including Virginia.

Respondent's Name: HCL America, Inc

Please provide at least two (2) Contact Names for each reference.

Company Name:	Tennessee Department of Labor and Workforce Development
Address:	220 French Landing Drive, Nashville, TN-37243
Contact Name:	Joey Czarneski
Contact Phone:	615-253-4492
Contact Email:	Joey.Czarneski@tn.gov
Alternate Contact Name:	Lawson Freeman
Alternate Contact Phone:	615-253-4065
Alternate Contact Email:	Lawson.Freeman@tn.gov
Description of Work:	HCL has implemented Case Management and Activity Tracking System (CMATS). The CMATS Application has been designed using, a structured, common, and unified program eligibility structure. The system is successfully supporting the agency in focusing on evaluating the participant's career needs in terms of Skills, Talents, Interests and Goals they possess within the context of the local or regional labor market. The information may be shared with other identified program areas such as Job Services, Unemployment Insurance Services, DHS Support Services, Educational Services and Training Services.

Service Dates: Dates must demonstrate at least one(1) continuous year	Feb 2000 till date, includes 2 phase development including maintenance and support
Approximate Contract Value:	Total Value approximately $9 Million

Company Name:	State Board of Workers' Compensation (SBWC), Georgia
Address:	270 Peachtree Street, N.W., Atlanta, Georgia 30303-1299
Contact Name:	Pamela Carter
Contact Phone:	404-656-3815
Contact Email:	carterp@sbwc.ga.gov
Alternate Contact Name:	Janice Askin
Alternate Contact Phone:	404-656-2939
Alternate Contact Email:	askinj@sbwc.ga.gov
Description of Work:	HCL has implemented Worker's Compensation System called Integrated Claims Management System. The scope of this project was to implement a stable, fully integrated solution capable of supporting SBWC's mission well into the 21st century, to train SBWC's employees in the use of this solution and to provide ongoing support to SBWC once the solution is deployed. HCL designed and developed an Integrated Claims Management Solution (ICMS) to discharge the statutory responsibilities of the SBWC for the State of Georgia. HCL's ICMS automated all the processes associated with claims management, alternative dispute resolution, trial, appeals, settlements, rehabilitation, managed care, licensure and quality assurance.
Service Dates: Dates must demonstrate at least one(1) continuous year	July 2004 - August 2007
Approximate Contract Value:	$ 3.2 Million

Company Name:	CT Department of Labor
Address:	200 Folly Brook Blvd. Wethersfield, CT 06109
Contact Name:	Carl Guzzardi
Contact Phone:	860-263-6450

Contact Email:	Carl.ruzzardi@ct.gov
Alternate Contact Name:	Tom Smoragiewicz
Alternate Contact Phone:	860-263-6326
Alternate Contact Email:	tom.smoragiewicz@ct.gov
Description of Work:	HCL implemented Electronic Document Management System in Benefit Payment Control
Service Dates: Dates must demonstrate at least one(1) continuous year	2004 to 2007, Currently we are providing FileNet maintenance support.
Approximate Contract Value:	$ 1.7 Million

***Authorized Signature (Manual)**

VASU D. SRINIVASAN, VICE PRESIDENT
***Authorized Signature (Typed), Title**

***This individual must have the authority to bind the respondent.**

9.3 Attachment B – Drugfree Workplace Certification

ATTACHMENT B – DRUGFREE WORKPLACE CERTIFICATION

Preference shall be given to businesses with drug free workplace programs. Whenever two or more responses which are equal with respect to price, quality, and service are received by the State or by any political subdivision for the procurement of commodities or contractual services, a response received from a business that certifies that it has implemented a drug-free workplace program shall be given preference in the award process. Established procedures for processing tie responses will be followed if none of the tied Respondents have a drug-free workplace program. In order to have a drug-free workplace program, a business shall:

1) Publish a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the workplace and specifying the actions that will be taken against employees for violations of such prohibition.
2) Inform employees about the dangers of drug abuse in the workplace, the business policy of maintaining a drug-free workplace, available drug counseling, rehabilitation, and employee assistance programs, and the penalties that may be imposed upon employees from drug abuse violations.
3) Give each employee engaged in providing the commodities or contractual services that are under this solicitation a copy of the statement specified in Subsection (1) above.
4) In the statement specified in Subsection (1), notify the employees that, as a condition of working on the commodities or contractual services that are under this solicitation, the employee will abide by the terms of the statement and will notify the employee of any conviction of, or plea of guilty or nolo contendere to, any violation of Chapter 893 or of any controlled substance law of the United States or any state, for a violation occurring in the work place no later than five (5) days after such conviction.
5) Impose a sanction, on, or require the satisfactory participation in a drug abuse assistance or rehabilitation program if such is available in the employee's community, by any employee who is so convicted.
6) Make a good faith effort to continue to maintain a drug-free workplace through implementation of this section.

As the person authorized to sign the statement, I certify that this firm complies fully with the above requirements.

***Authorized Signature (Manual)**

Vasu D. Srinivasan, Vice President
***Authorized Signature (Typed), Title**

***This individual must have the authority to bind the Respondent.**

9.4 Attachment C – Disclosure Statement Conflict of Interest Disclosure

ATTACHMENT C – DISCLOSURE STATEMENT
CONFLICT OF INTEREST DISCLOSURE

The award hereunder is subject to the provisions of Chapter 112, Florida Statutes. Respondents must disclose with their bids whether any officer, director, employee or agent is also an officer or an employee of the Agency, the State of Florida, or any of its Agencies. All firms must disclose the name of any state officer or employee who owns, directly or indirectly, an interest of five percent (5%) or more in the Respondent's firm or any of its branches or affiliates. All Respondents must also disclose the name of any employee, agent, lobbyist, previous employee of the Agency, or other person, who has received or will receive compensation of any kind, or who has registered or is required to register under Section 112.3215, Florida Statutes, in seeking to influence the actions of the Agency in connection with this procurement.

The following persons are officers, director, employee, etc., have a 5% or greater interest in the Respondent's firm:

_____ _____

_____ _____

The following persons are a state officer or employee who owns 5% or greater interest in the Respondent's firm:

_____ _____

_____ _____

The following persons have sought to influence the Agency in this procurement on behalf of the Respondent.

_____ _____

_____ _____

✓ The Respondent has no conflict of interest to disclose and has had no person seeking to influence the Agency in connection with this procurement.

***Authorized Signature (Manual)**

Vasu D Srinivasan, Vice President
***Authorized Signature (Typed), Title**

***This individual must have the authority to bind the Respondent.**

9.5 Attachment D – Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion Contracts/Subcontracts

ATTACHMENT D – CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY AND VOLUNTARY EXCLUSION CONTRACTS/SUBCONTRACTS

This certification is required by the regulations implementing Executive Order 12549, Debarment and Suspension, signed February 18, 1986. The guidelines were published in the May 29, 1987, Federal Register (52 Fed. Reg., pages 20360-20369).

INSTRUCTIONS

1. Each provider whose contract/subcontract equals or exceeds $25,000 in federal monies must sign this certification prior to execution of each contract/subcontract. Additionally, providers who audit federal programs must also sign, regardless of the contract amount. The Agency for Workforce Innovation cannot contract with these types of providers if they are debarred or suspended by the federal government.
2. This certification is a material representation of fact upon which reliance is placed when this contract/subcontract is entered into. If it is later determined that the signer knowingly rendered an erroneous certification, the Federal Government may pursue available remedies, including suspension and/or debarment.
3. The provider shall provide immediate written notice to the contract manager at any time the provider learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms "debarred," "suspended," "ineligible," "person," "principal," and "voluntarily excluded," as used in this certification, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the contract manager for assistance in obtaining a copy of those regulations.
5. The provider agrees by submitting this certification that, it shall not knowingly enter into any subcontract with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this contract/subcontract unless authorized by the Federal Government.
6. The provider further agrees by submitting this certification that it will require each sub-contractor of this contract/subcontract, whose payment will equal or exceed $25,000 in federal monies, to submit a signed copy of this certification.
7. The Agency for Workforce Innovation may rely upon a certification of a provider that it is not debarred, suspended, ineligible, or voluntarily excluded from contracting/subcontracting unless it knows that the certification is erroneous.
8. This signed certification must be kept in the contract manager's contract file. Sub-contractor's certifications must be kept at the Respondent's business location.

CERTIFICATION

1. The prospective provider certifies, by signing this certification, that neither he nor his principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this contract/subcontract by any federal department or agency.
2. Where the prospective provider is unable to certify to any of the statements in this certification, such prospective provider shall attach an explanation to this certification.

***Authorized Signature (Manual)**

Vasu D. Srinivasan, Vice President
*Authorized Signature (Typed), Title

*This individual must have the authority to bind the Respondent.

9.6 Attachment E – Certification Regarding Lobbying Certification for Contracts, Grants, Loans and Cooperative Agreeements

ATTACHMENT E – CERTIFICATION REGARDING LOBBYING CERTIFICATION FOR CONTRACTS, GRANTS, LOANS AND COOPERATIVE AGREEMENTS

The undersigned certifies, to the best of his or her knowledge and belief, that:

No federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or
attempting to influence an officer or employee of any agency, a member of congress, an officer or employee of congress, or an employee of a member of congress in connection with the awarding of any federal contract, the making of any federal grant, the making of any federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any federal contract, grant, loan, or cooperative agreement.

If any funds other than federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a member of congress, an officer or employee of congress, or an employee of a member of congress in connection with this federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form- LLL,- Disclosure Form to Report Lobbying,I in accordance with its instructions.

The undersigned shall require that the language of this certification be included in the award documents for all sub-awards at all tiers (including subcontracts, sub-grants, and contracts under grants, loans, and cooperative agreements) and that all sub-recipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

***Authorized Signature (Manual)**

Vasu D. Srinivasan, Vice President
***Authorized Signature (Typed), Title**

***This individual must have the authority to bind the Respondent.**

9.7 Attachment F – List of Subcontractors

ATTACHMENT F – LIST OF SUB-CONTRACTORS

Each Respondent shall submit with their response a list of the sub-contractors who will perform work under the contract resulting from this solicitation. The Respondent shall have determined to their own complete satisfaction that a listed sub-contractor has been successfully engaged in the related sub-contracted services and is qualified to provide the services for which each sub-contractor is listed.

In the event that no sub-contractor will be used, this list shall be returned indicating "No Sub-contractors will be used."

☐ **NO SUB-CONTRACTORS WILL BE USED:**

Sub-contractor Name:	Verizon Business Network Services Inc.
Business Type:	Enterprise
Sub-contracted Services:	Call centre services
Address:	One Verizon Way Basking Ridge
City and Zip	New Jersey 07920
Phone #	908-559-2000
FEIN #	47-0751768

Sub-contractor Name:	Impression Technology, Inc.
Business Type:	Enterprise
Sub-contracted Services:	Data capture and Imaging Solution
Address:	Crosby, Heafey, Raoch & May, Professional Corp, 1999 Harrison Street
City and Zip	Oakland,2084
Phone #	946-042-084
FEIN #	94-3273575

Sub-contractor Name:	University Of South Florida
Business Type:	U.S. Govt. Entity
Sub-contracted Services:	Training
Address:	4202, E Fowler Ave, Tampa
City and Zip	Florida,33620
Phone #	813-974-2481
FEIN #	59-3102112

*Authorized Signature (Manual)

VASU D. SRINIVASAN, VICE PRESIDENT
*Authorized Signature (Typed), Title

*This individual must have the authority to bind the Respondent.

9.8 Attachment G – Reference Questionnaire

The Reference forms are enclosed along with this response.

9.9 Attachment H – Dun and Bradstreet Supplier Qualifier Report

HCL'S D&B SUPPLIER QUALIFIER REPORT IS SHOWN BELOW:

Supplier Qualifier Report

Copyright 2010 Dun & Bradstreet - Provided under contract for the exclusive use of subscriber 022004211L

ATTN: **susharma@hcl.in** Report Printed: JUN 07 2010

In Date

BUSINESS INFORMATION

HCL AMERICA INC.
330 Potrero Ave
Sunnyvale, CA 94085

This is a **headquarters (subsidiary)** location. Branch(es) or division(s) exist.

Telephone: 408 523-8404

Chief executive: SHAMI KHORANA, PRES

Year started: 1988

Management control: 1995

Employs: 3,100 (280 here)

History: CLEAR

Financing: SECURED

D-U-N-S® Number: 19-729-8524

Parent D-U-N-S®: 86-217-2652

D&B Rating: **1R3**
Number of employees: 1R is **10 or more** employees.

Composite credit appraisal: 3 is **fair**.
D&B Supplier Risk: **4**

SUPPLIER EVALUATION RISK (SER) RATING FOR THIS FIRM : 4

D&B PAYDEX®

D&B PAYDEX: 69
When weighted by dollar amount, payments to suppliers average 16 days beyond terms.

Based on up to 24 months of trade.

SUMMARY ANALYSIS

D&B Rating: **1R3**

Number of employees: 1R indicates **10 or more** employees.

Composite credit appraisal: 3 is **fair**.

The 1R and 2R ratings categories reflect company size based on the total number of employees for the business. They are assigned to business files that do not contain a current financial statement. In 1R and 2R Ratings, the 2, 3, or 4 credit worthiness indicator is based on analysis by D&B of public filings, trade payments, business age and other important factors. 2 is the highest Composite Credit Appraisal a company not supplying D&B with current financial information can receive. For more information, see the D&B Rating Key.

Below is an overview of the company's rating history since 06/23/09:

D&B Rating	Date Applied
1R3	06/23/09

The Summary Analysis section reflects information in D&B's file as of June 7, 2010.

RISK SCORE ANALYSIS

KEY FINANCIAL COMMENTARY:

- Low proportion of satisfactory payment experiences to total payment experiences.
- UCC Filings reported.
- High proportion of slow payment experiences to total number of payment experiences.
- High number of inquiries to D&B over last 12 months.
- Unstable Paydex over last 12 months.

PROBABILITY OF FAILURE

The Probability of Failure is the proportion of suppliers with this score that are projected to discontinue operations with loss to creditors. Based on historical data in Dun & Bradstreet's files, the Probability of Failure is expected to be as follows:

PROBABILITY OF FAILURE:	0.16% (16 PER 10,000) - Supplier Risk Score of 4
AVERAGE PROBABILITY OF FAILURE:	0.48% (48 PER 10,000) - Average of Businesses in D&B's Database
FINANCIAL STRESS CLASS:	3
CREDIT DELINQUENCY SCORE:	563

DIVERSITY

Minority-Owned Business:	N/A
Women-Owned Business:	N/A
Disadvantaged Business Enterprise:	N/A
Small Disadvantaged Business:	N/A
HUB-Zoned Certified Business:	N/A
SBA 8(a) Certified:	N/A

Historically Underutilized Business:	N/A
Veteran-Owned Business:	N/A
Vietnam Veteran Business:	N/A
Disabled-Owned Business:	N/A
Historical College Classification:	N/A
Labor surplus area:	YES (2010)
Small Business:	N/A

SPECIAL EVENTS

06/23/2009
HCL Technologies Limited, Uttar Pradesh, India, DUNS #86-217-2652 is correctly reported as the direct parent of HCL America Inc.

CUSTOMER SERVICE

If you have questions about this report, please call our Customer Resource Center at 1.800.234.3867 from anywhere within the U.S. If you are outside the U.S. contact your local D&B office.

*** Additional Decision Support Available ***

Additional D&B products, monitoring services and specialized investigations are available to help you evaluate this company or its industry. Call Dun & Bradstreet's Customer Resource Center at 1.800.234.3867 from anywhere within the U.S. or visit our website at www.dnb.com.

HISTORY

The following information was reported **06/25/2009**:

Officer(s): SHAMI KHORANA, PRES
RAGHU RAMAN LAKSHMANAN, SEC

DIRECTOR(S): THE OFFICER(S)

The California Secretary of State's business registrations file showed that Hcl America Inc. was registered as a Corporation on November 7, 1988.

Business started 1988 by others. Present control succeeded 1995. 100% of capital stock is owned by the parent company.

SHAMI KHORANA. Antecedents are undetermined.

RAGHU RAMAN LAKSHMANAN. Antecedents are undetermined.

BUSINESS REGISTRATION

CORPORATE AND BUSINESS REGISTRATIONS REPORTED BY THE SECRETARY OF STATE OR OTHER OFFICIAL SOURCE AS OF MAY 21 2010:

This data is for informational purposes only, certification can only be obtained through the Sacramento Office of the California Secretary of State.

Registered Name: HCL AMERICA INC.

Business type: CORPORATION

Corporation type: PROFIT

Date incorporated: NOV 07 1988

State of incorporation: CALIFORNIA

Filing date: NOV 07 1988

Registration ID: C1505609

Status: ACTIVE

Where filed: SECRETARY OF STATE/CORPORATIONS DIVISION, SACRAMENTO, CA

Registered agent: C T CORPORATION SYSTEM, 818 WEST SEVENTH STREET, LOS ANGELES, CA, 900170000

Principals: SHAMI KHORANA, PRESIDENT, 1161 WAVELAP WAY, COLUMBIA, MD, 210440000

OPERATIONS

06/25/2009

Description: Foreign parent is HCL Technologies Limited, Uttar Pradesh, India. DUNS #86-217-2652. Started in 1991. This is a publicly-traded business, whose shares are traded on the Bombay Stock Exchange and the national Stock Exchange of India. Engaged in computer software development and applications.

Provides computer programming services, specializing in software development (100%).

Has 160 account(s). Terms are Net 30 days. Sells to undetermined. Territory : International.

Nonseasonal.

Employees: 3,100 which includes officer(s). 280 employed here.

Facilities: Leases 30,000 sq. ft. in a one story building.

Location: Industrial section on side street.

Branches: This business has multiple branches; detailed branch information is available in the D & B linkage or family tree products.

FAMILY LINKAGE

Parent Information:
D-U-N-S® #: 86-217-2652
Name: HCL TECHNOLOGIES LIMITED
Country: IN
Revenue: N/A

Domestic Ultimate Parent Information:
D-U-N-S® #: 19-729-8524
Name: HCL AMERICA INC.
Country: US
Revenue: N/A

Global Ultimate Parent Information:
D-U-N-S® #: 86-217-2652
Name: HCL TECHNOLOGIES LIMITED
Country: IN
Revenue: N/A

UNSPSC

UNSPSC (United Nations Standard Product and Services Code) is a globally accepted commodity (Product and Services) classification system. HCL AMERICA INC. offers the following product(s) and service(s):

81110000 Computer services

NAICS

Beginning in 1997, the **Standard Industrial Classification** (SIC) was replaced by the **North American Industry Classification System** (NAICS). This six digit code is a major revision that not only provides for newer industries, but also reorganizes the categories on a production/process-oriented basis. This new, uniform, industry-wide classification system has been designed as the index for statistical reporting of all economic activities of the U.S., Canada, and Mexico.

541511 Custom Computer Programming Services

SIC

Based on information in our file, D&B has assigned this company an extended 8-digit SIC. D&B's use of 8-digit SICs enables us to be more specific to a company's operations than if we use the standard 4-digit code.

73710301 Computer software development

D&B PAYDEX

The D&B PAYDEX is a unique, dollar weighted indicator of payment performance based on up to 154 payment experiences as reported to D&B by trade references.

3-Month D&B PAYDEX: 69	D&B PAYDEX: 69
When weighted by dollar amount, payments to suppliers average 16 days beyond terms. Based on trade collected over last 3 months.	When weighted by dollar amount, payments to suppliers average 16 days beyond terms. Based on up to 24 months of trade. When dollar amounts are not considered, then approximately 76% of the company's payments are within terms.

PAYMENT SUMMARY

The Payment Summary section reflects payment information in D&B's file as of the date of this report.

Below is an overview of the company's dollar-weighted payments, segmented by its suppliers' primary industries:

	Total Rcv'd (#)	Total Dollar Amts ($)	Largest High Credit ($)	Within Terms (%)	Days Slow <31 (%)	31-60 (%)	61-90 (%)	90> (%)
Top industries:								
Telephone communictns	23	584,600	250,000	65	1	6	10	18
Misc business credit	14	373,500	300,000	50	50	-	-	-
Mfg computers	7	1,175,250	400,000	72	-	4	13	11
Whol computers/softwr	5	3,065,000	3,000,000	99	1	-	-	-
Radiotelephone commun	4	91,000	80,000	53	47	-	-	-
Misc equipment rental	3	380,000	300,000	3	97	-	-	-
Whol electronic parts	2	6,030,000	6,000,000	50	50	-	-	-
Mfg refrig/heat equip	2	505,000	500,000	99	-	-	1	-
Mfg relays/controls	1	900,000	900,000	50	50	-	-	-
Reg misc coml sector	1	100,000	100,000	100	-	-	-	-
OTHER INDUSTRIES	59	275,350	60,000	68	3	18	7	4
Other payment categories:								
Cash experiences	27	23,150	20,000					
Payment record unknown	5	4,100	2,500					
Unfavorable comments	0	0	0					

Placed for collections:

With D&B	1	1,000	
Other	0	N/A	
Total in D&B's file	154	13,507,950	6,000,000

The highest **Now Owes** on file is $3,000,000
The highest **Past Due** on file is $2,000,000

Dun & Bradstreet has 154 payment experiences in its file for this company. For your convenience, we have displayed 80 representative experiences in the PAYMENTS section.

PAYMENT DETAILS

Detailed payment history

Date Reported (mm/yy)	Paying Record	High Credit ($)	Now Owes ($)	Past Due ($)	Selling Terms	Last Sale Within (months)
06/10	Ppt	10,000	0			2-3 mos
	Ppt-Slow 60	60,000	0			2-3 mos
05/10	Ppt	3,000,000	500,000	0	N30	1 mo
	Ppt	400,000	0	0		1 mo
	Ppt	55,000	0	0		1 mo
	Ppt	15,000	0	0	N30	4-5 mos
	Ppt	5,000	5,000	0		1 mo
	Ppt	5,000	0	0		2-3 mos
	Ppt	750	750	0	N30	1 mo
	Ppt	250	250	0	N30	1 mo
	Ppt	250	250	0	N30	1 mo
	Ppt	250	250	0	N30	1 mo
	Ppt	50	0	0		6-12 mos
	Ppt-Slow 30	7,500	7,500	2,500	N30	1 mo
	Ppt-Slow 60	35,000	0	0		2-3 mos
04/10	Ppt	70,000	70,000	0		1 mo

	Ppt	25,000	5,000	0		1 mo
	Ppt	2,500	500	0		1 mo
	Ppt	1,000	50	0		1 mo
	Ppt	1,000	1,000	0		1 mo
	Ppt	1,000	1,000	0		1 mo
	Ppt	500	250	0	Lease Agreemnt	1 mo
	Ppt	500	250	0		1 mo
	Ppt	250	250	0		1 mo
	Ppt	250	250	0		1 mo
	Ppt	250	250	0	Lease Agreemnt	1 mo
	Ppt	250	0	0		6-12 mos
	Ppt	100	0	0		6-12 mos
	Ppt	100	100	0	Lease Agreemnt	1 mo
	Ppt	50	0	0		1 mo
	Ppt	50	50	0		1 mo
	Ppt	50	50	0		1 mo
	Ppt	50	50	0		1 mo
	Ppt-Slow 30	900,000	0	0		1 mo
	Ppt-Slow 30	300,000	55,000	0		1 mo
	Ppt-Slow 30	500	250	0		1 mo
	Ppt-Slow 30	250	0	0	Lease Agreemnt	2-3 mos
	Ppt-Slow 60	100,000	45,000	500		1 mo
	Ppt-Slow 60	2,500	750	0		1 mo
	Ppt-Slow 90+	250,000	250,000	100,000		1 mo
	Ppt-Slow 120	30,000	20,000	15,000		1 mo
	Slow 30	7,500	0	0		6-12 mos

	Slow 60	10,000	0	0		1 mo
	Slow 60	500	0	0	Regular terms	6-12 mos
	Slow 60-90	10,000	7,500	5,000		1 mo
	Slow 90-120	100,000	15,000	15,000		1 mo
	Slow 90-120	5,000	2,500	2,500		1 mo
	(048)	100			Cash account	1 mo
	Cash own option.					
	(049)	50			Cash account	6-12 mos
	Cash own option.					
03/10	Ppt	30,000	0	0	Special Agreemnt	6-12 mos
	Ppt	1,000				1 mo
	Ppt-Slow 30	2,500	1,000	750		1 mo
	Ppt-Slow 120	65,000	15,000	2,500		1 mo
	Slow 30-120	10,000	0	0		1 mo
02/10	Ppt	2,500				1 mo
	Ppt	2,500	0	0		1 mo
	Ppt	2,500				1 mo
	Ppt	2,500				1 mo
	Ppt	250	0	0		
	Ppt	250	0	0		
	Ppt	100	0	0		
	Ppt	50	0	0		
	Ppt	0	0	0		1 mo
	Ppt-Slow 90	7,500	0	0		2-3 mos
01/10	Ppt	2,500	0	0		2-3 mos
12/09	Ppt	0	0			2-3 mos
	Ppt	0	0			2-3 mos
	Ppt	0	0			6-12 mos
	Ppt	0	0			6-12 mos
10/09	(070)	50			Cash account	6-12 mos
	Cash own option.					

09/09	Ppt	2,500				1 mo
	Ppt	250	0	0		6-12 mos
08/09	Ppt	1,000				1 mo
07/09	Ppt	250	0	0		6-12 mos
05/09	Ppt	2,500	0	0		6-12 mos
04/09	Ppt	1,000	0	0		1 mo
03/09	Ppt	750	0	0		6-12 mos
	Ppt	50	0	0		6-12 mos
02/09	(079)	50				1 mo
	Cash own option.					
12/08	Slow 30	2,500	0	0		6-12 mos

Payments Detail Key: red = 30 or more days beyond terms

Payment experiences reflect how bills are met in relation to the terms granted. In some instances payment beyond terms can be the result of disputes over merchandise, skipped invoices etc.

Each experience shown is from a separate supplier. Updated trade experiences replace those previously reported.

PAYMENT TRENDS

SUPPLIER VERSUS INDUSTRY PAYDEX

->	PRIOR 4 QTRS				CURRENT 12 MONTH TREND											
	2008	---	2009	---	---	---	---	---	---	---	2010	---	---	---	---	---
	SEP	DEC	MAR	JUN	JUL	AUG	SEP	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN
Supplier PAYDEX	64	71	67	61	72	66	68	67	68	71	72	71	75	76	69	69
Industry PAYDEX (Based on 19 establishments in SIC 737X)																
UP QRT	79	79	79	79			79			79						
MEDIAN	75	75	75	75			75			75						
LO QRT	68	68	68	68			68			68						

PAYDEX scores are updated daily and are based on upto 13 months of trade experiences from the Dun& Bradstreet trade file.

All amounts displayed within this report are in local currency.

FINANCE

11/07/2009

Accountant: PricewaterhouseCoopers LLP.

On June 23, 2009, Mr. Sunil Sharama, Finance Mgr confirmed HCL Technologies Limited is the direct parent company.

PUBLIC FILINGS

The following Public Filing data is for information purposes only and is not the official record. Certified copies can only be obtained from the official source.

LIENS

A lienholder can file the same lien in more than one filing location. The appearance of multiple liens filed by the same lienholder against a debtor may be indicative of such an occurrence.

Status:	**Open**
FILING NO.:	087165660110
Type:	State Tax
Filed by:	EMPLOYMENT DEVELOPMENT DEPARTMENT
Against:	HCL AMERICA INC
Where filed:	SECRETARY OF STATE/UCC DIVISION, SACRAMENTO, CA
Date status attained:	07/17/2008
Date filed:	07/17/2008
Latest Info Received:	07/28/2008

UCC FILINGS

Collateral:	Account(s) including proceeds and products - General intangibles(s) including proceeds and products - Leased Computer equipment including proceeds and products

Type: Original
Sec. party: CIT COMMUNICATIONS FINANCE CORPORATION, LIVINGSTON, NJ
Debtor: HCL AMERICA,INC.
Filing number: 067086315117
Filed with: SECRETARY OF STATE/UCC DIVISION, SACRAMENTO, CA

Date filed: 09/26/2006
Latest Info Received: 10/06/2006

Collateral: Equipment
Type: Original
Sec. party: BANC OF AMERICA LEASING & CAPITAL, LLC, CHICAGO, IL EMC CORPORATION, HOPKINTON, MA
Debtor: HCL AMERICA INC.
Filing number: 097203656694
Filed with: SECRETARY OF STATE/UCC DIVISION, SACRAMENTO, CA

Date filed: 07/28/2009
Latest Info Received: 08/06/2009

Collateral: Equipment
Type: Original
Sec. party: BANC OF AMERICA LEASING & CAPITAL, LLC, CHICAGO, IL EMC CORPORATION, HOPKINTON, MA
Debtor: HCL AMERICA INC.
Filing number: 097203656078
Filed with: SECRETARY OF STATE/UCC DIVISION, SACRAMENTO, CA

Date filed: 07/28/2009
Latest Info Received: 08/06/2009

Collateral: Equipment
Type: Original
Sec. party: EMC CORPORATION, HOPKINTON, MA
Debtor: HCL AMERICA INC.
Filing number: 097203569516
Filed with: SECRETARY OF STATE/UCC DIVISION, SACRAMENTO, CA

Date filed: 07/27/2009
Latest Info Received: 08/06/2009

Collateral: Equipment
Type: Original
Sec. party: EMC CORPORATION, HOPKINTON, MA NATIONAL CITY COMMERCIAL CAPITAL COMPANY, LLC, LISLE, IL
Debtor: HCL AMERICA INC. and OTHERS
Filing number: 097198817232
Filed with: SECRETARY OF STATE/UCC DIVISION, SACRAMENTO, CA

Date filed: 06/09/2009
Latest Info Received: 06/18/2009

There are additional UCC's in D&B's file on this company available by contacting 1-800-234-3867.

The public record items contained in this report may have been paid, terminated, vacated or released prior to the date this report was printed.

GOVERNMENT ACTIVITY

Activity summary

Borrower (Dir/Guar):	NO
Administrative debt:	NO
Contractor:	YES
Grantee:	NO
Party excluded from federal program(s):	NO
Congressional District:	16

The details provided in the Government Activity section are as reported to Dun & Bradstreet by the federal government and other sources.

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9.10 Attachment I – Non-Collusion Affidavit

ATTACHMENT I - NON-COLLUSION AFFIDAVIT

By signature below I state that I am authorized to make this affidavit on behalf of this firm, and its owner, directors, and officers. I am the person responsible in this firm for the price(s) the amount of this reply, and the preparation of the reply.

I state that

1. The prices(s) and amount of this reply have been arrived at independently and without consultation, communication or agreement with any other contractor, bidder or potential bidder.
2. Neither the price(s) nor the amount of this reply, and neither the approximate price(s) nor approximate amount of this reply, have been disclosed to any other firm or person who is a bidder or potential bidder, and they will not be disclosed before bid opening.
3. No attempt has been made or will be made to induce any firm or persons to refrain from submitting a reply for this contract, or to submit a price(s) bid higher that the price(s) in this reply, or to submit any intentionally high or noncompetitive price(s) or other form of complementary reply.
4. The reply of my firm is made in good faith and not pursuant to any agreement or discussion with, or inducement from, any firm or person to submit a complementary or other noncompetitive reply.
5. **HCL America, Inc.** its affiliates, subsidiaries, officers, director
   (Name of firm)
   and employees are not currently under investigation by any governmental Agency and have not in the last three years been convicted or found liable for any act prohibited by State or Federal law in any jurisdiction, involving conspiracy or collusion with respect to bidding on any public contract, except as follows:
   I state that **HCL America, Inc.** understands and acknowledges that the
   (Name of Firm)
   above representation are material and important, and will be relied on by State of Florida for which this bid is submitted.

I understand and my firm understands that any misstatement in this affidavit is and shall be treated as fraudulent concealment from the State of Florida of the true facts relating to the submission of bids for this contract.

Authorized Signature: _____ Date: July 12, 2010

State of NC, County of WAKE

Sworn to and subscribed before me this 12TH day of July, 2010

By **VASUDEVAN SRINIVASAN** as **VICE PRESIDENT** for **HCL AMERICA, INC**
(Name of person) (Type of Authority, Officer, Attorney) (Firm/Company Name)

_____ (Signature of Notary Public) HUGO PALOMO MCE 5/31/2011
Print/Type/Stamp Commissioned Name of Notary Public

Personally Known_____ or Produced Identification MDL

Type of Identification Produced MDL S-651-839-019-739

HUGO PALOMO
Notary Public
Wake County, NC
My Commission Expires May 31, 2011

9.11 Attachment J – Proof of Signature Authority

ATTACHMENT J – PROOF OF SIGNATURE AUTHORITY

This Invitation to Negotiate shall include proof of signature authority **if someone other than the President or Chairman of the Board of Directors signs the reply to this Invitation to Negotiate.**

This proof shall be one of the following:

- A written statement by the President or Chairman of the Board delegating authority to a particular person; or
- A copy of the entity's by-laws reflecting signature authority to a particular person; or
- A copy of the Board of Directors meeting minutes that show action to delegate signature authority to a particular person or position.

If delegating signature authority, please complete the below and include one of the above required documents.

Shiv Nadar, Chairman, Board of Directors,

(Type Name and Title of President or Chairman of the Board of Directors)

Vasu D. Srinivasan

(Type Name of Person to Whom Signature Authority is delegated)

Vice President

(Type Title of Person to Whom Signature Authority is delegated)

HCL AMERICA, INC.

ACTION BY UNANIMOUS WRITTEN CONSENT IN LIEU OF ANNUAL MEETING OF THE SHAREHOLDERS AND BOARD OF DIRECTORS OF HCL AMERICA, INC.

The undersigned, being all of the shareholders and members of the Board of Directors of HCL AMERICA INC., a California Corporation (the "Corporation"), pursuant to California Corporation Code ("CCC") §603 and By-laws of the Corporation, do by the writing consent to approve and adopt the following resolutions:

A. Election of Directors

RESOLVED, that pursuant to CCC §301 Mis. Shiv Nader, Ami Chanana and Prahlad Rai Bansal be elected as members of the Board of Directors of this Corporation for the coming year and shall serve as directors of the Corporation until their successors are duly elected and qualified.

B. Appointment of Officers

"RESOLVED that the following persons are elected as officers of this Corporation for the coming year to hold the office mentioned against their respective names.

Shami Khorana	President
Murali Krishnamurthy	Chief Financial Officer
Raghu Raman Lakshmanan	Secretary and General Counsel

"RESOLVED FURTHER that each of the officers be and are hereby authorized and appointed as the constituted and nominated representative of the Corporation to do all or any of the following acts, deeds, things for and on behalf of the Corporation:

- To negotiate, make, sign, seal and enter into and deliver contracts and agreements and vary all such contracts and agreements in the ordinary course of business relating to the business of the Corporation and to perform the same and do all such acts, deeds, things in the name and on behalf of the Corporation as the said officer may consider expedient or necessary.
- To insure or cause to be insured any goods, buildings or real property, right or interest, or business risk whatsoever belonging to the Corporation.
- To receive and take possession of any lands, properties, assigned to the Corporation or in which the Corporation shall be interested in or concerned with either as owner, principal, agent or lessee.
- To demand, receive, sue for attachment, seize, stop in transit, release or deliver any action, money, documents, goods, merchandise, chattels, shares or other properties or effects, real or otherwise or any right to sale and interest in respect thereof belonging to the Corporation.
- To demand, recover, and receive from any and every person, firm, body corporate or otherwise all or any monies now or hereafter due or owing or payable to the Corporation either solely or jointly with any other person or persons under any contract or agreement whatsoever or on any account and under any circumstances whatsoever, and on receipt of any such monies to grant effectual receipts, releases and other discharges in such form and manner as the said officer may think fit and proper.

HCL AMERICA INC.

- The power to commence, prosecute to judgment, execute, abandon, defend or settle any actions, suits or other proceedings, at law or equity as the said officer may think fit, in which the Corporation is or may be interested or concerned in the ordinary course of business, and to verify and sign any complaint, answer, written statement, petitions, other statements, memorandum of appeal, sworn affidavits or any other documents or applications for and on behalf of the Corporation, and retaining or employing any counsel, advocates and solicitors in this regard and terminating their appointment

- To accept service of any notices, warrants of attachment, or other proceedings, attaching or pertaining to all or any of the matters aforesaid, or any matter in which the Corporation is or may be hereafter concerned, and

- To do all acts, deeds, matters and things which are incidental to or that may be necessary and proper for fully and effectively discharging all or any of the powers hereby conferred."

"RESOLVED FURTHER that all acts, deeds, things that any officer shall lawfully do or cause to be done by virtue of these authorities conferred, be and are hereby ratified and confirmed."

C. Authorization for Document Execution

"RESOLVED that the following persons, in addition to the persons already authorized by the Board earlier, be and are hereby severally authorized to negotiate, make, sign, seal and enter into and deliver contracts, leases, agreements, letters and other legal documents, vary all such contracts, leases, agreements, letters, and other legal documents in the ordinary course of business relating to the business of the Corporation and to perform and do all such acts, deeds, things in the name and on behalf of the Corporation as such person may consider expedient or necessary in the interest of the Corporation

M. N. Divakar	Executive Vice President
Anoop Tiwari	Vice President

"RESOLVED FURTHER that all acts, deeds, things that any officer shall lawfully do or cause to be done by virtue of these authorities conferred, be and are hereby ratified and confirmed."

Shiv Nadar, Director

Anil Chanana, Director

Prahlad Rai Bansal, Director

For HCL Bermuda Limited

Director

[illegible]

- [illegible]

- [illegible]

- [illegible]

RESOLVED FURTHER [illegible]

Authorization for Document Execution

RESOLVED [illegible]

[illegible] Vice President

[illegible] Vice President

RESOLVED FURTHER [illegible]

[illegible]

[illegible] Director

HCL Bermuda Limited

Director

May 7, 2008

9.12 Attachment K – Certificate of Good Standing

State of Florida

Department of State

I certify from the records of this office that HCL AMERICA, INC. is a corporation organized under the laws of California, authorized to transact business in the State of Florida, qualified on October 28, 2003.

The document number of this corporation is F03000005378.

I further certify that said corporation has paid all fees due this office through December 31, 2010, that its most recent annual report was filed on April 9, 2010, and its status is active.

I further certify that said corporation has not filed a Certificate of Withdrawal.

Given under my hand and the Great Seal of Florida, at Tallahassee, the Capital, this the Eleventh day of June, 2010

Kurt K. Roberts

Secretary of State

Authentication ID: 500181993855-061110-F03000005378

To authenticate this certificate, visit the following site, enter this ID, and then follow the instructions displayed.
https://efile.sunbiz.org/certauthver.html

9.13 Attachment L - Certified Service-Disabled Veteran Business Enterprises (CSDVBE) Certification

Not Applicable

9.14 Attachment O – Response to Scope of Work

ATTACHMENT O – RESPONSE TO SCOPE OF WORK

This form allows Contactors to propose modifications to the draft SOW language provided in Section D, Exhibit 1 of this ITN. All proposed modifications are subject to negotiations and do not imply agreement by the Agency. If no modification is proposed, enter "Accepted" in the table for each SOW section. This form may be expanded as needed to facilitate response to this requirement.

SOW Section	Proposed Modification to SOW Language or "Accepted"
Section 1.0 - Definitions	Accepted
Section 2.0 –Problem Statement	Accepted
Section 3.0 - Contract Objectives : Business Objective #1- Eliminate duplicative data entry between disparate systems or within the same system	Eliminate duplicative data entry between disparate systems or within the same system provided that the legacy systems do not keep separate duplicate data and that iGOVERN™ database is considered the "system of record" for any data in question.
Section 3.0 – Contract Objectives: Business Objective #4 – Electronic Digital Signatures	Our solution meets the electronic digital signature requirement in accordance with the Florida statutes pertaining to electronic signatures.
Section 4.0 – Coordination with the Agencies and other Entities	Accepted
Section 5.0 – Project Governance	Accepted
Section 5.1 – Change Control	Accepted
Section 5.2- Corrective Action Plan: Point No. 4	Upon acceptance of the Correction Action Plan (CAP), the Contractor shall have up to sixty (60) calendar days to implement and successfully complete the agreed upon CAP. Acceptance of the CAP by the Agency does not guarantee the implementation will result in elimination of future deficiencies. Upon acceptance of the CAP, the Contractor and Agency shall agree to a time frame to implement and successfully complete the agreed upon CAP. Acceptance of the CAP by the Agency does not guarantee the implementation will result in elimination of future deficiencies.
Section 6.0 - Project Software Development Lifecycle Phases	Accepted
Section 6.1- High level Project Schedule	Accepted
Section 6.2- Planning	Accepted
Section 6.3- Requirements Validation	Accepted
Section 6.4- Functional Design	Accepted

Section 6.5- Technical Design	Accepted
Section 6.6- Code and Unit Test	Accepted
Section 6.7- System Integration Test	Accepted
Section 6.8- Unit Test	Accepted
Section 6.9- Training	Accepted
Section 6.10-Product Pilot	Accepted
Section 6.11- Implementation	Accepted
Section 6.12- Maintenance and Operations	Accepted
Section 7.0- Overall Management Responsibilities	Accepted
Section 7.1.1, # 18 – Contractor Project Management Responsibilities	Provide monthly ARRA reporting for jobs created or retained provided that AWI supplies the necessary data.
Section 7.2- Risk Management	Accepted
Section 7.3- Issue Management	Accepted
Section 7.4 – Quality Management	Accepted
Section 7.5- Configuration Management	Accepted
Section 7.6-Project Communications	Accepted
Section 7.7- Phase Gate Reviews	HCL requests that a payment schedule be negotiated based on mutually agreed upon deliverables.
Section 7.8- Knowledge Transfer	Accepted
Section 7.9- Disaster Recovery	Accepted
Section 7.10 – Disaster Preparedness Plan	Accepted
Section 7.11.1 Background Investigations	Accepted
Section 7.11.2- Individual Non-Disclosure and Confidentiality Confirmation	Accepted
Section 8.0 – Phases, Tasks and Deliverables	Accepted
Section 8.1 – Planning	Accepted
Section 8.2- Requirements Validation	Accepted
Section 8.3 – Reports Development	Accepted
Section 8.4 – Forms and Correspondence Development	Accepted
Section 8.5 – Functional Design	Accepted
Section 8.6 – Technical Design	Accepted
Section 8.7 – Business Process Updates	Accepted
Section 8.8 – Interface Definition	Accepted
Section 8.9 – Code and Unit Test	Accepted
Section 8.10- System Integration Test	Accepted
Section 8.11- User Acceptance Test	Accepted
Section 8.12- Data Conversion	Accepted
Section 8.13- Installation and Implementation	Accepted
Section 8.14- Production Pilot	Accepted
Section 9.0 – Training and Documentation	Accepted
Section 9.1 – Training	Accepted
Section 9.2- User Documentation	Accepted
Section 10.0- Deliverables	Accepted
Section 10.1 - Submission, Approval, and	A DED will be submitted with the deliverables

Maintenance of Deliverables	for inclusion in the approval process.
Section 10.2 – Deliverable Quality Assurance	Accepted
Section 10.3 - General Deliverable Preparation Instructions	Accepted
Section 11.0 - Service Levels and Liquidated Damages	Accepted
Section 12.0 – System Support Services	Accepted
Section 12.1- Maintenance and Operations	Accepted
Section 12.2- Warranty Support	Accepted
Section 12.3 – Operations Transition	Accepted

***Authorized Signature (Manual)**

Vasu D. Srinivasan, Vice President
***Authorized Signature (Typed), Title**

***This individual must have the authority to bind the respondent.**

9.15 Attachment P – Response to Special Conditions

ATTACHMENT P – RESPONSE TO SPECIAL CONDITIONS

This form allows Contactors to propose modifications to the Special Conditions language provided in the Agency's contract, Section D, Exhibit 3 of this ITN. All proposed modifications are subject to negotiations and do not imply agreement by the Agency. If no modification is proposed, enter "Accepted" in the table for each Special Condition. This form may be expanded as needed to facilitate response to this requirement.

Special Condition Section	Proposed Modification to Special Condition Language or "Accepted"
Section 1.0	Accepted
Section 2.0	Accepted
Section 3.0	Accepted
Section 4.0	Accepted
Section 5.0- Stop work under the Contract on the date of and to the extent specified in the notice.	Stop work under the Contract on the effective date of termination
Section 6.0	Accepted
Section 6.1	Accepted
Section 6.2	Accepted
Section 6.3	Accepted
Section 6.4	Accepted
Section 7.0	Accepted
Section 7.1	Accepted
Section 7.2	Accepted
Section 7.3	Accepted
Section 8.0	Accepted
Section 9.0	Accepted
Section 9.1	Accepted
Section 9.2	Accepted
Section 9.3	Accepted
Section 9.4	Accepted
Section 9.5	Accepted
Section 9.6	Accepted
Section 9.7	For the purposes of clarity, Contractor shall be responsible for unauthorized disclosure only to the extent such disclosure is caused due to the reasons solely attributable to the Contractor.
Section 9.8	Accepted
Section 9.9	Accepted
Section 9.10	Accepted
Section 9.11	Accepted
Section 9.12	Accepted
Section 9.13	Contractor conducts the following background check for its US employees: a. Social Security Trace

	b. Drivers Record Report (DMV) c. Criminal • County Criminal Search • County Civil Search • Federal District Criminal Search If requested by the client he following kinds of background checks can also be done: d. Sanction Searches: Bureau of Industry & Security List of Denied Persons e. Verification • Education Verification • Employment Verification • Office of Foreign Assets Control Currently Contractor does not have the facility to conduct a fingerprint search through the FDLE and FBI, which is a required of a level 2 background check. However, The Contractor will cooperate with AWI for its personnel to be subject to additional background screenings as per requirements of AWI.
Section 9.14	Accepted
Section 9.15	(b) Contractor wants such penalties to be sole and exclusive remedy of the Agency
	(c) This term "Sole discretion" is arbitrary. HCL requests that this term be further clarified.
Section 10.0	Accepted
Section 10.1	Accepted
Section 10.2	Accepted
Section 11.0	Accepted
Section 11.1	Accepted
Section 11.2	Accepted
Section 11.3	Accepted
Section 11.4	Accepted
Section 11.5	Contractor is willing to provide Errors and Omissions Insurance which would protect the agency. However, HCL requests that indemnification language is removed.
Section 11.6	Accepted
Section 12.0	Accepted
Section 12.1	Accepted
Section 12.2	Accepted
Section 13.0	Accepted
Section 13.1	Accepted
Section 13.2	Accepted
Section 13.3	Accepted
Section 13.4	Accepted
Section 14.0	Accepted

Section 14.1	Accepted
Section 14.2	Accepted
Section 14.3	Accepted
Section 14.4	Accepted
Section 14.5	The term 'Deliverables' needs to be defined. Contractor would provide source code of only those Deliverables which are exclusively developed by Contractor for the Agency.
Section 14.6	Accepted
Section 14.7	Accepted
Section 14.8	Accepted
Section 14.9	Accepted
Section 14.10	Accepted
Section 14.11	Accepted
Section 14.12	Accepted
Section 14.13	Accepted
Section 14.14	Accepted
Section 15.0	Accepted
Section 16.0	Accepted
Section 17.0	Accepted
Section 18.0	Accepted
Section 19.0	Accepted
Section 19.1	Accepted
Section 19.2	Accepted
Section 19.3	Accepted
Section 19.4	Accepted
Section 19.5	Accepted
Section 19.6	Accepted
Section 19.7	Accepted
Section 19.8	Accepted
Section 19.9	Accepted
Section 19.10	Accepted
Section 19.11	Accepted
Section 19.12	Accepted
Section 19.13	Accepted
Section 19.14	Accepted
Section 19.15	Accepted
Section 19.16	Accepted
Section 20.0	Accepted
Section 21.0	Accepted
Section 21.1	Contractor wants such liquidated damages to be pre defined and such liquidated damages shall be the sole and exclusive remedy of the Agency if Contractor fails to fulfill its obligations under the Contract.
Section 21.2	Accepted
Section 21.3	Accepted
Section 22.0	Accepted
Section 23.0	Accepted

*Authorized Signature (Manual)

Vasu D. Srinivasan, Vice President
*Authorized Signature (Typed), Title

*This individual must have the authority to bind the respondent.

9.16 Attachment Q - Requirements Response Matrix

The PDF and XLS version of our response to Attachment Q are enclosed in an electronic format along with the technical response.

9.17 Attachment R – Requirements Response Summary Form

The PDF and XLS version of our response to Attachment R are enclosed in an electronic format along with our technical response.

9.18 (1) Original Addendum Acknowledgement Form that is included with each addendum posting, signed and dated by an individual authorized to bind the Respondent

Charlie Crist
Governor

Cynthia R. Lorenzo
Director

ADDENDUM ACKNOWLEDGEMENT FORM
ITN #10-ITN-001-SS
Addendum No. 1

Agency for Workforce Innovation
107 E. Madison Street
Caldwell Building
Tallahassee, FL 32399

SOLICITATION NO.: 10-ITN-001-SS

SOLICITATION TITLE: Unemployment Compensation Claims and Benefits Information System Design, Development, and Implementation

OPENING DATE: July 16, 2010, 3:00 P.M., EST

ADDENDUM No.: One (1) **DATE:** June 18, 2010

THE ADDENDUM ACKNOWLEDGEMENT FORM SHALL BE SIGNED BY AN AUTHORIZED COMPANY REPRESENTATIVE, DATED AND RETURNED WITH THE REPLY AS INSTRUCTED IN, SECTION B.2 CALENDAR OF EVENTS.

Changes to Specifications are coded as: words **stricken** are deletions; words **underlined** are additions.

Please be advised that the following changes are applicable to the original specifications of the above-referenced ITN:

1. **Section A.6, Statement of Need, "Supporting Documentation" the following 14 documents have either been revised or added:**

Supporting Document Description	Link Description	Link
Schedule IV-B Feasibility Study	• CBA Forms • Risk Assessment • Project Schedule	www.floridajobs.org\unemployment\ITN
As-Is Process Documentation and Diagrams	• UAC	www.floridajobs.org\unemployment\ITN

10-ITN-001-SS Page 1 of 7 Addendum No. 1

Supporting Document Description	Link Description	Link
Invitation to Negotiate Attachments	• Attachment S – Cost Response Revised (version 2) • Attachment Q – Requirements Response Revised (version 2) • Vendor Conference Sign-in Sheet • Attachments Revised	www.floridajobs.org/unemployment/ITN
Current IVR Documents	• IVR Script 1 • IVR Script 2 • IVR Script 3 • IVR Overview • Call Center Hardware and Software Configuration	www.floridajobs.org/unemployment/ITN

2. **Section B.7.1, Technical Response, Tab 1, "Response Cross Reference Table", is hereby amended to read as follows:**

ITN			Response	
Page(s)	Section	Subject	Section Title	Page(s)
1	B.7.1 – Title Page	Title Page	Title Page	#
2	B.7.1 – Tab 1	Tab 1	Tab 1	#
#	-	-	-	#
#	-	-	-	#
#	-	-	-	#
20	B.7.1 – Tab 4:1	Approach	Approach	#

3. **Section B.7.1, Technical Response, Tab 5, "Value Added Services - Innovative Ideas" is hereby amended to read:**

Value added services are services beyond those services previously outlined that you may provide to offer additional benefits to AWI. Describe and clearly label any value added services offered to the Agency. Although the Agency has provided a statement of need and mandatory requirements for Respondents, these are not intended to limit Respondent's innovations or creativity in preparing a response to accomplish these goals. Innovative ideas, new concepts and partnership arrangements other than those presented in this Invitation to Negotiate, will be considered. ~~For example, these might include unique business features, special services, offer costs or shared savings, discounts or terms and conditions specific to each Respondent.~~

Additional costs or shared savings associated with value added services or innovative ideas shall not be included in the technical response and shall ~~should~~ not be included in Attachment S, Cost Response but ~~should~~ shall be included as an appendix to the Cost Response.

4. **Section B.7.1, Technical Response, Tab 8, "Attachments", Attachment A – Reference Form, the second paragraph is hereby amended to read as follows:**

Attachment A - ~~Past Performance References~~ Reference Form

In the spaces provided in Attachment A, the Respondent must provide the required information for ~~a minimum of~~ three (3) separate and verifiable clients that will serve as references. The clients listed must be for work similar in nature to that specified in this ITN. Confidential clients shall not be included. **Do not list the AWI as a client reference.**

The same client may not be listed for more than one (1) reference. For example, if the Respondent has completed a project for the Florida Department of Transportation – District One and one project for the Florida Department of Transportation – District Two, only one of the projects may be listed because the client, the Florida Department of Transportation, is the same.

Firms that are currently parent or subsidiary companies to the Respondent will not be accepted as ~~Past Performance references~~ a client reference under this solicitation.

In the event that the Respondent has had a name change since the time work was performed for a listed reference, the name under which the Respondent operated at the time that the work was performed must be given at the end of the project description for that reference in Attachment A.

In the event that Respondents submit a response as a joint venture, at least one (1) ~~past performance~~ client reference must be listed for each member of the joint venture. However, the total ~~minimum~~ number of client references to be provided remains three (3).

Failure to provide the required information for ~~a minimum of~~ three (3) separate and verifiable clients in the spaces provided in Attachment A shall result in the Respondent receiving a score of zero (0) for the ~~Past Performance~~ Reference Questionnaire section of the evaluation.

5. **Section B.7.1, Technical Response, Tab 8, "Attachments", Attachment G – Reference Questionnaires, the 2nd paragraph and Item No. 5 is hereby amended to read as follows:**

2nd paragraph: The reference questionnaire provided as Attachment G must be completed by an individual representing each of the clients listed in Attachment A, Reference Form. These individuals may not be current or former officials or staff of the Agency for Workforce Innovation ~~State of Florida.~~

5. Enclose all sealed reference envelopes within a larger, labeled envelope for inclusion in the Technical Response. The Agency will make copies to distribute for evaluation.

6. **Section B.7.1, Technical Response, Tab 8, "Attachments", Attachment S – Cost Response is hereby amended to read as follows:**

Attachment S – Cost Response [to be submitted in accordance with Section B.7.2]

7. **B.8 Submission of Responses, 1st and 9th paragraphs are hereby amended:** *(This section supersedes Section C, PUR 1001, Instructions #3, Electronic Submission of Responses)*

1st paragraph: The Respondent shall return one (1) original, signed and sealed **Technical response** including the client references; along with seven (7) copies and twenty (20) electronic copies (on compact disc).

9th paragraph: Responses that do not meet all material requirements of this response or which fail to provide all required information, documents or materials will be rejected as non-responsive. Material requirements of the response are those set forth as mandatory, or without which an adequate analysis and comparison of responses is impossible. Respondents whose replies, ~~past performance~~ client references or current status do not reflect the capability, integrity or reliability to perform fully and in good faith the requirements of the contract may be rejected as non-responsible.

8. **Section B.12, Response Evaluation, Item No. 1, "Scoring" is replaced in its entirety:**

1. **Scoring**

There will be a total of 1,000 points possible to be assigned for each Response broken out by the following major categories:

Technical Response		
Management Summary and Solution	Response Tabs 4 & 5 and Attachment Q	500 points
Respondent's History, Experience, and Team	Response Tabs 6 & 7 and Attachment G	200 points
Cost Response	Appendix S	300 points
Total Points		**1,000 points**

Technical Response Scoring. The content of Respondent technical responses will be reviewed in fifteen (15) categories as follows:

Response Tab	ITN Section #	ITN Section Title	Max. Points
Management Summary and Solution			**500**
Tab 4 - Project Approach and Methodology			
4.1	B.7.1 Tab 4.1	Approach	50
4.2	B.7.1 Tab 4.2	Project Management	30
4.3	B.7.1 Tab 4.3	Project Schedule	20
4.4	B.7.1 Tab 4.4	Project Management Plans	30
Tab 5 - Proposed Solution			
5.1	B.7.1 Tab 5.1	Solution Overview	80
5.2	B.7.1 Tab 5.2	System Development	60
5.3	B.7.1 Tab 5.3	Technical Description	60
5.4	B.7.1 Tab 5.4	Warranty, Maintenance and	30

		Operations	
5.5	B.7.1 Tab 5	Value Added Services - Innovative Ideas	20
8.16 Att. Q	B.7.1 Tab 8	Attachment Q – Functional Requirements Response Matrix	80
8.16 Att. Q	B.7.1 Tab 8	Attachment Q – Non- Functional Requirements Response Matrix	40
Respondent's History, Experience and Team			**200**
Tab 6 - Company Profile and Experience			
6.1	B.7.1 Tab 6	Respondent's History and Experience	50
6.2	B.7.1 Tab 6	Company Profile	50
8.8	B.7.1 Tab 8	Attachment G – Reference Questionnaire	30
Tab 7 - Personnel			
7.1	B.7.1 Tab 7	Resumes and Experience	70

Each section or sub-section will be reviewed by at least three evaluators, working independently. The completed evaluation scoring forms will be forwarded to the Procurement Office for inclusion in the final score.

Cost Response Scoring. The Cost Response will be awarded a pro rata portion of points based on the formula below. The formula awards points for cost based on two factors. First is the ratio of each Respondent's cost versus the lowest proposed cost. The second factor is based on each Respondent's technical score. A ratio is created based on the Respondent's technical score divided by the maximum available technical points. Each of these ratios are applied to calculate the total cost score as follows:

(Lowest Price / Respondent Price) * (Respondent Technical Score / Max Technical Score) * Max Cost Points = Cost Score

Lowest Price = Lowest cost of all responsive bids
Respondent Price = Cost for a specific Respondent
Respondent Technical Score = Score of a specific Respondent's technical response
Max Technical Score = Maximum points available for the technical response (700 points)
Max Cost Points = Maximum points available for the cost data response (300 points)
Cost Score = Cost points awarded to the Respondent

9. **Section B.14, Demonstrations and Preliminary Negotiations, is hereby amended to read as follows:**

The Agency shall conduct Preliminary Negotiations and Demonstrations with the short-listed Respondents prior to the final determination of contract award. ~~All participants will start out on an equal basis.~~

10. **Section B.15, Contract Negotiation, is hereby amended to read as follows:**

~~The Agency will proceed to negotiate with one or more selected Respondents, based on the Demonstrations and Preliminary Negotiations results.~~

The Agency will proceed to negotiate with one or more selected Respondents, based on the response evaluation described in Section B.12, and based on the Demonstrations and Preliminary Negotiations described in Section B.14.

11. Exhibit 1, Scope of Work, Section 8.1, "Planning", Item 16. Document management plan is hereby stricken.

~~16. Document management plan~~

12. Exhibit 1, Scope of Work, Section 9.1, Training, Items 1 and 2 are hereby amended to read as follows:

1. Provided for all end users (approximately 1,600 ~~664~~ at the time of the ITN)

2. Conducted in three (3) ~~six (6)~~ locations
   a. Tallahassee (approximately 470 end users)
   b. Orlando (approximately 870 end users)
   c. Ft. Lauderdale (approximately 260 end users)
   ~~d. Jacksonville~~
   ~~e. Pensacola~~

13. Attachment A, Reference Form has been corrected to expand the text field to read:

Service Dates: Dates must demonstrate at least one (1) continuous year.

14. Attachment Q – Requirements Response Matrix has been revised, requirement NF.0150 is hereby stricken.

(See replacement Excel document "Attachment Q – Requirements Response (Revised- version 2)" on the following web link: http://www.floridajobs.org/unemployment/ITN).

15. Attachment S – Cost Response has been revised.

(See replacement Excel document "Attachment S – Cost Response (Revised- version 2)" on the following web link: http://www.floridajobs.org/unemployment/ITN).

16. Mandatory Pre-Response Conference Sign-In Sheet

(A copy of the sign-in sheet is provided on the VBS).

17. Questions and Answers

(Questions and answers (UCMod-10-ITN-001-SS-Vendor-Questionsv-1.00.pdf) are provided on the VBS).

The Agency hereby provides answers to questions as provided in ITN Section B.5. Unless otherwise expressly indicated in the answer and in a formal amendment set forth above, these answers do not amend the terms of the solicitation.

Failure to file a protest within the time prescribed in Section 120.57(3), Florida Statutes, or failure to post the bond or other security required by law within the time allowed for filing a bond shall constitute a waiver of proceedings under Chapter 120, Florida Statutes.

RESPONDENT:	HCL AMERICA, INC.	**BY:**	VASU D. SRINIVASAN
ADDRESS:	1950 OLD GALLOWS ROAD	**PHONE:**	(408) 328-7686
CITY, STATE:	Vienna, VA 22182	**DATE**	July 14, 2010

AUTHORIZED SIGNATURE:

10. APPENDIX

10.1 ASSUMPTIONS

- HCL assumes that there are no ARRA funding conflicts with respect to this contract or any other respective contracts between HCL (or HCL's subcontractors) and the State of Florida.
- We assume that only the prime needs to be registered to do business with the state of Florida.
- For the resumes and experience section, we have assumed that for the current relationships of the team members with state agencies, school districts and local governments it is specific to Florida City or county only.
- BPR would mean updates to the existing Business Processes and would not include any new Business Process Reengineering activity.
- The project schedule is created based on approached outlines in section 8.0 of Exhibit 1- Scope of Work of the ITN. The schedule and deliverables would be reviewed and revisited after contracting and during project initiation phase.
- It is assumed that dedicated AWI staff/ SMEs would be involved during gap analysis session, walkthrough and other review process. The dedicated effort of the AWI staffs / SMEs would be in accordance with the timeline an duration of the project phase(s).
- AWI staff/ SMEs would be involved during gap analysis session, walkthrough and other review process
- AWI will provide Acceptance test cases to be reviewed and accepted by HCL before completion of Design phase of each of the iteration.
- AWI will ensure the resolution of queries within 3 days of its receiving.
- AWI will ensure that corresponding Requirement definition document, format for forms, correspondence, reports, sample data sets and other documents, if any, for the module's Gap analysis are made available to HCL team 10 days before the start of Gap analysis phase.
- The DED for each deliverable is included in the Project Management section of the workplan as part of the tasks under Control and Execution.
- PM Initiation resources hours for each phase are allocated in the Project Management section.

Unemployment Claims and Benefit Internet Portal (UC Internet Portal)

- The iGOVERN™ Claimant Self Service (CSS) module will be used to meet this functionality.
- Any change to the start date will require re-calibration of the schedule to validate the feasibility of meeting roll out planned date of Jun 30, 2011 per the statue.
- To meet the aggressive time frame of four months (calculated by a start date of February 28, 2011 per the ITIN and an end date of June 30, 2011 per the Statue), HCL makes the following assumptions.

Functional

- Based on our responses to Attachment Q, the iGOVERN™ CSS module will require minimal change to meet the requirements.
- Modifications will be considered based on regulations and impact to the project schedule.
- Enhancements will be documented and considered in later releases.

Technical

- Only the hardware and software needed for this phase will be implemented.

- If AWI purchases the hardware and software, steps will be taken by AWI prior to the project start to ensure the purchase process can be initiated and if necessary expedited immediately following the design approval.
- Any access or security that HCL staff will need to install the hardware, software and initialize the system setup will be expedited to meet the project schedule.
- HCL has database design documents created specifically for the iGOVERN™ CSS module. Modifications will be considered based on regulations and impact to the project schedule.
- Any roadblocks related to the Interface design, development and testing will need to be given a high priority for resolution by both AWI and HCL.
- iGOVERN™ will make use of current mechanism applied for interacting with the AWI Legacy mainframe environment for interfaces, functional backbridging during transition period, if necessary, and data conversion to the new system. The assumption made here is that current mechanism is based on RDBMS in FLUID / FLCCID.

Project Management

- The project kickoff will focus on this phase with reference to the entire UC solution.
- AWI reviews and approval for deliverables will be expedited to meet the project schedule. Inclusion of AWI staff through out the tasks will allow for input during the deliverable creation process.

Call Center Interactive Voice Response System (IVR) and Benefit Overpayment Screening System (BOSS)

- In Gap analysis for Requirements Review and Gap Sessions, resources are only allocated for 32 hours in the week per the requirement in 8.2.1.2.
- Call Center IVR requirements will be addressed with Verizon Genesys.
- The BOSS system will be addressed with the components of the iGOVERN™ Benefit module.
- Correspondence requirements will be addressed with Thunderhead.
- Workflow requirements will be addressed using iGOVERN™'s Workflow module.

Internet and Intranet Appeals System and the Claims and Benefit System

- In Gap analysis for Requirements Review and Gap Sessions, resources are only allocated for 32 hours in the week per the requirement in 8.2.1.2.
- The appeals requirements will be addressed with the iGOVERN™ Appeals module and CSS module extension.
- The Claims and Benefit System will be addressed with the iGOVERN™ Benefit module.

Data Conversion

- As HCL is unfamiliar with the AWI legacy system data structures and corresponding data format, we propose to modify the ITN roles and responsibilities related to data conversion. HCL will assume full responsibility for data conversion and data cleansing as defined in the ITN. To promote efficiency in the data conversion process and reduce cost and risk, we suggest that AWI assume responsibility for the following tasks under HCL management and data conversion planning and responsibility:
  - Data Extraction from the Mainframe Legacy Systems
  - Data Cleansing
- Accordingly, we have structured our proposal around the following assumptions:

- ITN Stated Contractor Responsibility: The Contractor shall develop the software and/or use software to extract data from all existing systems, ancillary databases and Excel spreadsheets and transfer it into the proposed UC solution.

  HCL Assumption:

  AWI Staff will develop all data extraction routines and perform the extraction of mainframe legacy data. AWI Staff will also validate and sign off on the extraction routine for accuracy.

- ITN Stated Contractor Responsibility: The Contractor shall be responsible for all data cleansing activities, related to systematic data cleansing and identification of potential manual changes that need to be addressed by the Agency. Data cleansing includes improving the accuracy, quality, and integrity of the data to be converted and migrated to the new system. Data stored in the current systems is known to have some inaccuracies, duplication, and gaps. The Contractor shall produce reports to identify records that are probable duplicates based on criteria supplied by the Agency.

  HCL Assumption:

  HCL will assume this responsibility with automated routines as the cleansing will be done in the target system i.e. the proposed UC solution. Any data updates in the AWI legacy systems will remain AWI's responsibility.

  ITN Stated Contractor Responsibility:
  - Recommend procedures for handling missing data, data exceptions, and default values.
  - Recommend the method for combining duplicate entities/records into one record.

  HCL Assumption:

  All data updates arising from the above tasks will be AWI's responsibility

  ITN Stated Contractor Responsibility:
  - Provide support to enable the Contractor's staff to write and execute data extract programs for legacy systems.

  HCL Assumption:

  AWI staff will assume responsibility for the task of data extraction with staff dedicated for this purpose. In addition, AWI staff will validate and sign off the extraction routine for accuracy.

10.2 Proof of legal entity and authorization to do business with the State of Florida

10.2.1 HCL

State of Florida

Department of State

I certify from the records of this office that HCL AMERICA, INC. is a corporation organized under the laws of California, authorized to transact business in the State of Florida, qualified on October 28, 2003.

The document number of this corporation is F03000005378.

I further certify that said corporation has paid all fees due this office through December 31, 2010, that its most recent annual report was filed on April 9, 2010, and its status is active.

I further certify that said corporation has not filed a Certificate of Withdrawal.

Given under my hand and the Great Seal of Florida, at Tallahassee, the Capital, this the Eleventh day of June, 2010

Secretary of State

Authentication ID: 500181993855-061110-F03000005378

To authenticate this certificate, visit the following site, enter this ID, and then follow the instructions displayed.
https://efile.sunbiz.org/certauthver.html

10.2.2 Verizon Business

APPROVED AND FILED

05 DEC 30 PM 1:04

SECRETARY OF STATE
TALLAHASSEE, FLORIDA

APPLICATION FOR REGISTRATION OF FICTITIOUS NAME

Note: Acknowledgements/certificates will be sent to the address in Section 1 only.

Section 1

1. Verizon Business Services
Fictitious Name to be Registered (see instructions if name includes "Corp" or "Inc")

22001 Loudoun County Parkway
Mailing Address of Business

Ashburn VA 20147
City State Zip Code

3. Florida County of principal place of business: Leon
(see instructions if more than one county)

This space for office use only

Section 2

A. Owner(s) of Fictitious Name if Individual(s): (Use an attachment if necessary):

1. Last First M.I.
Address
City State Zip Code

2. Last First M.I.
Address
City State Zip Code

B. Owner(s) of Fictitious Name if other than an individual: (Use attachment if necessary):

1. MCI Communications Services Inc.
Entity Name
22001 Loudoun County Parkway
Address
Ashburn VA 20147
City State Zip Code
Florida Registration Number
FEI Number: 47-0751768
☐ Applied for ☐ Not Applicable

2. Entity Name
Address
City State Zip Code
Florida Registration Number
FEI Number:
☐ Applied for ☐ Not Applicable

Section 3

I (we) the undersigned, being the sole (all the) party(ies) owning interest in the above fictitious name, certify that the information indicated on this form is true and accurate. In accordance with Section 865.09, F.S., I (we) understand that the signature(s) below shall have the same legal effect as if made under oath. (At Least One Signature Required)

Signature of Owner Date
Phone Number: 703 886 5711

Signature of Owner Date 12/28/05
Phone Number:

Section 4

FOR CANCELLATION COMPLETE SECTION 4 ONLY:
FOR FICTITIOUS NAME OR OWNERSHIP CHANGE COMPLETE SECTIONS 1 THROUGH 4:

I (we) the undersigned, hereby cancel the fictitious name _____, which was registered on _____ and was assigned registration number _____

Signature of Owner Date
Signature of Owner Date

Mark the applicable boxes ☐ Certificate of Status — $10 ☐ Certified Copy — $30

NON-REFUNDABLE PROCESSING FEE: $50

Single CR4E001 (11/03)

10.3 Contracts

10.3.1 HCL-Verizon Business Contract

HCL

TEAMING AGREEMENT

This teaming agreement ("**Agreement**") is entered into and made effective on 12th day of July, 2010 ("**Effective Date**") by and between:

(1) **HCL America, Inc.**, a company incorporated under the laws of US, having its registered office at 330 Potrero Avenue, Sunnyvale, CA. ("**HCL**"); and

(2) **Verizon Business Network Services Inc. on behalf of MCI Communications Services, Inc. doing business as Verizon Business Services**, a company incorporated under the laws of the State of Delaware, with offices at 1 Telecom Parkway, Temple Terrace, Florida 33637 ("**Verizon Business**");

HCL and Verizon Business are individually referred to as a "Party" and jointly referred to as "Parties". For the purpose of this Agreement, "**Affiliates**" shall mean any legal entity which, is directly or indirectly controlling, controlled by or under the common control of a Party.

WHEREAS:

a) HCL is a leading global information technology company offering integrated portfolio of services including technology solutions, software products, consulting, remote infrastructure management and business process outsourcing solutions to its customers.

b) Verizon Business is global company and a leading provider of information technology, telecommunications services, and security and network solutions for enterprise and government customers.

c) HCL and Verizon Business intend to work together in a collaborative manner to pursue a business opportunity for the provision of Unemployment Compensation Claims and Benefits Information System Design, Development, and Implementation for the Florida Agency for Workforce Innovation (interchangeably "**Opportunity**" or "**Project**"). The Parties have concluded that a mutual effort in pursuing this Opportunity would be advantageous to both Parties.

d) HCL intends to prepare and submit a competitive proposal ("**HCL Proposal**") to the Florida Agency for Workforce Innovation ("**AWI**") in response to its Invitation to Negotiate, Solicitation No. 10-ITN-001-SS for the Unemployment Compensation Claims and Benefits Information System Design, Development, and Implementation ("**AWI ITN**") and Verizon Business desires to contribute its expertise to the development of the HCL Proposal.

e) Verizon Business desires to provide certain telecommunications products and services to HCL within those areas separately identified and set forth in Exhibit A ("**Verizon Scope of Proposed Services**"), which is attached hereto, and HCL wishes to purchase such service from Verizon Business in support of its Proposal to AWI.

THEREFORE, in consideration of the foregoing and the mutual covenants contained herein, the Parties agree as set out below:

1. SCOPE OF AGREEMENT

1.1. This Agreement describes the nature and extent of the relationship between the Parties and sets forth the terms and conditions under which the Parties and their Affiliates will co-operate to combine their complementary skills and expertise to develop and submit the HCL Proposal ,

1

Confidential

VzB: VanZette/Topolski/D.Johnson/Dente 07.12.10

1.2. HCL shall act as the primary contracting entity and bidding party ("**Prime**") and Verizon Business shall act a subcontractor to HCL ("**Subcontractor**") for such Opportunity. The use of the terms "Prime" and "Subcontractor" hereinafter in this Agreement shall be understood accordingly.

2. RELATIONSHIP OF THE PARTIES

2.1 The relationship hereby established between the Parties is solely that of independent contractors. Nothing contained in this Agreement shall be deemed to authorize either Party to act for, represent, or bind the other Party except as expressly provided in this Agreement.

2.2 Each Party shall bear all expenses which it incurs in connection with the HCL Proposal and the Verizon Proposal, any negotiations which may follow, and all other efforts under this Teaming Agreement. Neither Party shall have any right to reimbursement or compensation of any kind from the other in connection with this Teaming Agreement nor the activities associated with such Teaming Agreement. The Parties shall not share profits under any agreements which may result from this Agreement.

2.3 Each Party hereby agrees that it shall not independently pursue the Opportunity with respect to Verizon's Scope of Proposed Services, nor participate as a member of the competing team, or make proposals or agreements in support of the efforts of other entities competing for such Opportunity with respect to Verizon's Scope of Proposed Services, other than as a member of the team created by this Agreement, or, except through the HCL Proposal to AWI pursuant hereto. Notwithstanding the foregoing, Verizon reserves the right to provide regulated or tariffed services upon request to any party, including parties who may be submitting proposals in competition with HCL, in accordance with applicable laws, rules, and regulations regarding such services.

2.4 Subject to clause 2.3 above, nothing contained in this Agreement shall confer any right or impose any obligation or restriction on either Party with respect to any other project effort or marketing activity at any time undertaken including promoting, quoting, marketing, leasing, licensing, offering to sell, or selling to others any item or services which it regularly offers for sale and which do not pertain to this Agreement, Opportunity or Proposal, even though they may be included in Verizon's Proposal to HCL or the HCL Proposal to AWI.

3. OBLIGATIONS OF THE PARTIES

3.1. WORK SHARE AND PREPARATION OF PROPOSAL

(a) HCL shall be responsible for overall Proposal and Project management. HCL shall prepare and submit the HCL Proposal, which incorporates a supporting contribution from Verizon Business responsive to the requirements of the AWI ITN as described in Exhibit A.

(b) Verizon shall prepare and provide to HCL a proposal ("Verizon Proposal") that will include a statement of work and description of the services it will provide to HCL which will be subject to the terms of the "Subcontractor Agreement" and applicable service attachments which will contain the mutually agreed terms and conditions applicable to Verizon's provision of such proposed services to HCL, and other mutually agreeable flow down terms and conditions from the Prime Contract.

(c) Both Parties will use reasonable commercial efforts (including making available all required resources) in accordance with their normal business practices and pricing methodologies and shall meet regularly to review and discuss the progress and to resolve any issue, in the preparation of a competitive HCL Proposal.

(d) Verizon Business shall use commercially reasonable efforts to support and provide HCL with competitive prices and discounts for the proposed products and services described in Exhibit A during the development of the HCL Proposal and HCL's negotiation with AWI to address the AWI's requirement.

(e) HCL shall allow Verizon Business to review and approve those sections of the HCL Proposal pertaining to Verizon Business's deliverables and responsibilities prior to submission to AWI. If approval is withheld or unreasonably delayed, then Verizon Business may terminate this Agreement without liability. Verizon Business shall not be liable for and need not assume any obligation for changes in the Verizon Proposal to HCL it has not reviewed.

3.2. AMENDMENT TO PROPOSAL

(a) Verizon Business reserves the right to amend, modify, withdraw or terminate its participation in this Project at any stage if Verizon discovers, in its sole discretion, that Verizon Business's participation would result in net neutrality or non-discrimination flow down provisions under the American Recovery and Reinvestment Act of 2009 ("ARRA") applying or potentially applying to any aspect of Verizon's network. To the extent that applicable law or the terms of this procurement make Verizon Business's participation binding so that Verizon Business cannot exercise its previously reserved rights, then Verizon Business's proposal shall be immediately cancelled without liability to Verizon in any manner whatsoever. Notwithstanding the foregoing, in the event that Verizon Business, in its sole discretion, determines that no aspect of Verizon's network would be subject to such flow down provisions under the ARRA, then it will continue to participate in this Teaming Agreement for the Opportunity. In the event that Verizon withdraws or terminates its participation in this Project at any stage pursuant to the terms of this Section 3.2(a), then Verizon shall provide knowledge transfer services (to be defined and mutually agreed upon in writing between the parties either via amendment to this Teaming Agreement or by inclusion in the Subcontractor Agreement, as applicable, for an agreed upon transition period), to HCL and/or to any subcontractor that HCL may identify with respect to Verizon's scope of work.

(b) If, after submission of the HCL Proposal, AWI requires changes to the HCL Proposal which relate to Verizon Business's Scope of Proposed Services, HCL will co-ordinate with Verizon Business and obtain Verizon Business's consent prior to submitting the revised HCL Proposal. HCL shall submit such revised proposal, within such period as is mutually agreed by the Parties, which shall be no later than the date requested by AWI.

3.3. AWARD OF PROJECT

(a) Both Parties will co-operate in good faith and use reasonable commercial efforts to cause a Prime Contract to be awarded to HCL. Where requested by HCL, Verizon Business shall provide all reasonable support as outlined herein in explaining its portion of the HCL Proposal including participating in presentations related to Verizon Business's proposed scope of work.

(b) HCL shall not during negotiations with AWI, without the prior consent of Verizon Business, give any commitments or make any representations inconsistent with the terms of this Teaming Agreement and the Subcontractor Agreement, which affects the responsibilities, obligations or rights of Verizon Business in respect of the HCL Proposal or Project.

(c) HCL will keep Verizon Business regularly informed of the progress of any negotiations with AWI and will notify Verizon Business in writing as soon as reasonably possible of the receipt by HCL of the notice of award, request for best and final offers, or written acceptance or refusal by AWI of the HCL Proposal.

(d) Upon award of the Project to HCL by the AWI, HCL shall make all reasonable efforts to enter into a final prime contract ("Prime Contract") with AWI.

(e) Each Party undertakes that it shall not claim any loss or damages on account of a lost Opportunity or non-award of contract by Prospect to Prime, for any reason whatsoever.

(f) If a Prime Contract is awarded to HCL as a consequence of the HCL Proposal submitted to AWI, then HCL shall, subject to AWI approval, award Verizon Business the right to provide services under the terms and conditions as set forth in the Subcontractor Agreement by mutual written agreement of both Parties. If prior consent to or approval of Verizon Business is required by AWI, then upon request from HCL, Verizon Business shall exert commercially reasonable efforts to assist HCL in securing such approval.

(g) Notwithstanding any other provisions set forth in the AWI ITN or in this Teaming Agreement, Verizon's Proposal and the rates, terms, and conditions set forth therein will be contingent upon HCL and Verizon Business entering into a written agreement, signed by both parties, consistent with Verizon's standard terms and conditions for its proposed services as set forth in Verizon's Subcontractor Agreement. Parties are willing to negotiate in good faith to add such other terms and conditions as may be mutually acceptable to both parties, but such additional terms and conditions may affect the rates, charges, and/or other terms to be required by parties and such other terms as required pursuant to necessary flow down terms from the Prime Contract to the extent mutually agreeable by the Parties.

(h) The scope of work, charges and other terms and conditions for the Project, as agreed in the Subcontract Agreement will be final and binding between the Parties. The Subcontract Agreement, upon execution, shall supersede this Agreement.

(i) Verizon Business understands that AWI may require HCL to agree to additional terms and conditions other than those specified in the HCL Proposal or Verizon's Proposal. . Notwithstanding the foregoing, the Subcontract Agreement shall be amended to incorporate such additional terms and conditions only to the extent mutually agreed upon in writing between the Parties.

(j) Each Party's liability to the other Party concerning performance or non-performance, or in any manner related to the Project, for any and all claims, regardless of the form of action, shall not exceed the limits expressly agreed in the Subcontract Agreement.

4. REPRESENTATIONS AND WARRANTIES

4.1. Each Party represents, warrants and undertakes to the other Party as follows:

(a) the Party has the capacity and authority to enter into this Agreement;

(b) the persons entering into this Agreement on behalf of the Party have been duly authorized to do so;

(c) this Agreement and the obligations created hereunder are binding upon the Party and enforceable against the Party in accordance with their terms (subject to applicable principles of equity) and do not and will not materially violate the terms of any other agreement, or any judgment or court order, by which the Party is bound;

(d) there is no proceeding pending or threatened which to the Party's knowledge, challenges or may have a material adverse impact on this Agreement or the ability of the Party to perform its obligations pursuant to this Agreement; and

(e) it has not withheld any information which is required for effective performance of the obligations pursuant to this Agreement and that information provided to the other Party are complete, true and accurate to the best of its knowledge and belief.

4.2. Each Party acknowledges that the other Party has entered into this Agreement in reliance on the representations, warranties and undertakings set out in this clause 4.1.

5. CONFIDENTIALITY OBLIGATIONS

5.1. CONFIDENTIAL INFORMATION

(a) Either Party may disclose Confidential Information under this Agreement and shall, in doing so, be referred to as the "**Discloser**" hereunder. The other Party when receiving Confidential Information shall be referred to as the "**Recipient**".

(b) As used in this Agreement, the Term "Confidential Information" shall mean information disclosed by Discloser relating to the Opportunity, AWI, Project and Discloser's business, including, without limitation, computer programs (including source code(s)), technical drawings, algorithms, know-how, processes, designs, reports, specifications, ideas, trade secrets, inventions, pricing information, business and financial plans, strategies and information, or confidential or proprietary information designated as such in writing by the Discloser, whether by letter or by the use of an appropriate prominently placed proprietary stamp or legend, prior to or at the time such trade secret or confidential or proprietary information is disclosed by the Discloser to the Recipient or if not so marked or announced should reasonably have been understood as confidential to the Discloser (or one of its Affiliates or subcontractors), either because of legends or other markings, the circumstances of disclosure or the nature of the information itself, and that (i) relates to purposes of this Teaming Agreement or that, although not related to such purpose, is nevertheless disclosed as a result of the Parties' discussions or communications in that regard; (ii) relates to the Discloser's customers, products, services, developments, trade secrets, know-how or personnel; and (iii) is received by the Recipient from the Discloser during the term of this Agreement. Confidential Information may be disclosed in written or other tangible form (including on magnetic media) or by oral, visual or other means.

(c) Information which is orally or visually disclosed to the Recipient by the Discloser, or is disclosed in writing without being marked as confidential, shall constitute Confidential Information, if the Discloser, within ten (10) days after such disclosure, delivers to the Recipient written document(s) describing such Confidential Information and referencing the place and date of such oral or visual disclosure and the names of the employees or officers of the Recipient to whom such disclosure was made.

(d) The Confidential Information shall not include any information that

i) is lawfully known by the Recipient at the time of disclosure without any obligation to keep the same confidential,

ii) is or becomes through no fault of the Recipient available to the public subsequent to the time of Discloser's communication thereof to Recipient;;

iii) is independently developed by the Recipient without use or reference to such Confidential Information,

iv) is authorized to be disclosed in writing by the Discloser,

v) is rightfully disclosed to it by a third party without restriction,

vi) is identified by Discloser as no longer proprietary or confidential, or

(e) CONFIDENTIAL INFORMATION PROVIDED UNDER THIS AGREEMENT IS PROVIDED AS IS. NEITHER PARTY MAKES ANY WARRANTIES TO THE OTHER WITH RESPECT TO CONFIDENTIAL INFORMATION, INCLUDING, WITHOUT LIMITATION, WARRANTIES OF MERCHANTABILITY, FITNESS FOR PARTICULAR PURPOSE OR AGAINST INFRINGEMENT.

5.2. **NON-DISCLOSURE OBLIGATIONS**

(a) The Recipient shall, and shall ensure that its employees, agents and subcontractors shall:

i. keep the Confidential Information as confidential;

ii. not disclose the Confidential Information to any person (except as provided in clauses 5.2.c and 5.2.d), unless it first obtains the written consent of the Discloser; and

iii. use the Confidential Information for only for the purpose for which it was disclosed and shall not use or exploit such Confidential Information for its own benefit or the benefit of another;.

(b) Without limiting the foregoing, Recipient agrees that it will exercise the highest standard of care in protecting the Discloser's Confidential Information and such standard shall not be lower than the standards used by Recipient in protecting its own Confidential Information of a similar nature.

(c) Recipient may only disclose the Confidential Information to its Affiliates and their employees or third party contractors with a need to know the information for the purpose of this Agreement in the course of the performance of their duties provided that such contractors, Affiliates and Affiliate employees and contractors, agree, in advance, in writing, to be bound by confidentiality provisions at least as protective of Discloser's Confidential Information as those contained in this Agreement..

(d) Recipient may disclose Confidential Information where it is required to be disclosed by law or order or any court or regulatory body of competent jurisdiction provided that the Recipient shall notify the Discloser prior to making any such disclosure in order to provide such Discloser an opportunity to seek an appropriate protective order or other relief to prevent such disclosure unless prohibited from doing so by applicable law. The Recipient shall cooperate fully (at the Discloser's expense) and provide reasonable assistance to Discloser in all efforts to secure confidential treatment of the Confidential Information by a protective order or otherwise or to prevent or minimize the disclosure of the Discloser's Confidential Information. Recipient further agrees that if Discloser is not successful in precluding the requesting legal body from requiring the disclosure of the Confidential Information, it will furnish only that portion of the Confidential Information which is legally required.

(e) Upon request by Discloser, Recipient will return and/or destroy all documents or media (including information in computer software or held in electronic storage media), containing any such Confidential Information provided that Recipient may retain copies of Confidential Information to the extent necessary to meet any statutory requirements.

Notwithstanding anything to the contrary under this Agreement, any Proposal, Addendum or the associated Subcontractor Agreement, the Confidential Information of AWI shall be treated as confidential at all times, without limitation, irrespective of the method of disclosure to the Recipient. Confidentiality obligations with respect to source code(s) and trade secrets shall be perpetual.

6. INTELLECTUAL PROPERTY RIGHTS (IPRs)

6.1. "**Intellectual Property Rights**" or "**IPRs**" shall mean patents, copyright, registered designs, trade marks and service marks (whether registered or not), database rights, design rights, moral rights and other property rights in any jurisdictions and that grant similar rights as the foregoing, including those subsisting in inventions, drawings, performances, software, semiconductor topographies, business names, and in applications for the protection of any of the foregoing.

6.2. Parties agree that where a Party and/or its Affiliates ("**First Party**") owns or has rights in any IPRs, such First Party shall continue to own and retain rights in any such IPRs (including any modifications, adaptations, derivative works and enhancements thereto) which are provided or used by the First Party, pursuant to this Agreement. The other Party does not acquire any rights, express or implied, from the First Party and hereby waives any claim that it may have had or has to title and ownership in and to the First Party IPRs.

6.3. Parties acknowledge and agree that rights in any third party IPRs shall continue to be with such third party only and use of any such third party software shall be governed by the terms of End User License Agreement ("**EULA**") with such third party.

7. TERM AND TERMINATION

7.1. The term of this Agreement shall commence on the Effective Date and unless the Agreement is terminated at an earlier date, shall expire upon completion of one (1) years from the Effective Date unless otherwise extended by mutual written agreement of the Parties.

7.2. TERMINATION OF AGREEMENT

This Agreement may be terminated:

(a) By either Party,

(i) For convenience, where the Proposal has not been submitted to the AWI, upon giving fifteen (15) days written notice to other Party.

(ii) Immediately upon notice, in the event of insolvency, bankruptcy, reorganization under the bankruptcy laws or assignment for the benefit of creditors of either Party.

(iii) upon breach of clause 2 (Relationship of the Parties)

(b) By Verizon as described in Section 3.2 (a) Amendment to Proposal re: ARRA funding above;

(c) By the aggrieved Party, upon notice, where breaching Party commits a material breach of Agreement, which is:

(i) Incapable of being remedied; or

(ii) Capable of being remedied, remains un-remedied, within a period of thirty (15) days after receipt of notice from aggrieved Party requiring that the breach be remedied.

(d) Upon the occurrence of any of the following events:

(i) Mutual agreement of the Parties to terminate their relationship in relation to such Proposal;

(ii) Notice from the AWI that it will not award a contract for such Project or that it has awarded the contract to an entity other than the HCL;

(iii) Written notice from the AWI stating its disapproval of Verizon Business, as a subcontractor for the Project provided that HCL did nothing to effect such a result and made its best efforts to have Verizon Business approved; or

(iv) Execution of the Subcontractor Agreement by and between the Parties upon the award of the contract by AWI.

7.3. **CONSEQUENCES OF TERMINATON**

The termination of this Agreement shall be without prejudice to the rights and obligation of the Parties that have accrued under this Agreement prior to such termination.

8. LIABILITY

8.1 NEITHER PARTY WILL BE LIABLE FOR ANY CONSEQUENTIAL, INCIDENTAL, OR INDIRECT DAMAGES FOR ANY CAUSE OF ACTION, WHETHER IN CONTRACT OR TORT. CONSEQUENTIAL, INCIDENTAL, AND INDIRECT DAMAGES INCLUDE, BUT ARE NOT LIMITED TO, LOST PROFITS, LOST REVENUES, AND LOSS OF BUSINESS OPPORTUNITY, WHETHER OR NOT THE OTHER PARTY WAS AWARE OR SHOULD HAVE BEEN AWARE OF THE POSSIBILITY OF THESE DAMAGES.

In no event shall a Party's total liability for direct damages exceed the amount paid by HCL to Verizon under the Subcontractor Agreement resulting from this Teaming Agreement for the twelve month period prior to the accrual of the cause of action that is the subject of the claim.

This section does not limit any liability: (a) in tort for either Party's wilful or intentional misconduct; or (b) for bodily injury or death proximately caused by either Party's negligence; or (c) loss or damage to real property or tangible personal property proximately caused by a Party's negligence.

8.2 In the case of both the Parties acting independently of each other in the supply by each Party of its products or services for the Opportunity, the liability shall be strictly several and not joint.

8.3 In the case of contributory negligence, a Party's liability to the other Party under or in connection with this Agreement will be reduced proportionately by the extent, if any, to which the acts or omissions of the first Party or those of any of its Personnel caused or contributed to the relevant loss or damage suffered or incurred by the second Party.

9. DISPUTE RESOLUTION

9.1. In the event of a dispute concerning the conclusion, validity, interpretation or performance of this Agreement, the Parties shall make every reasonable effort to reach an amicable settlement by

negotiation in good faith between the Parties at the highest executive levels. In the event such executive negotiation is unsuccessful, the dispute or disputes may be resolved by resort to a court of competent jurisdiction applicable the Parties.

9.2 Notwithstanding anything to the contrary stated in this Agreement, either Party shall have the right to seek injunctive relief from any courts of appropriate jurisdiction for breach of confidentiality or infringement of any intellectual property rights.

10. NON SOLICITATION

10.1. Neither Party shall during the term of this Agreement and for a period of one (1) year thereafter, directly or indirectly, solicit or recruit the employees of the other Party who are directly involved or associated with the Opportunity, Proposal and/or the Project at any time during the term of this Agreement.

11. GENERAL

11.1. ASSIGNMENT

Neither Party may assign this Agreement or any part thereof and/or any of its rights and/or obligations hereunder, to any third party, without the express written consent (not to be unreasonably withheld or delayed) of the other Party and any such assignment in contravention of this provision shall be void. This Agreement shall be binding upon the successors and permitted assigns of both the Parties. For the purpose of this Teaming Agreement, any corporate merger, acquisition, or similar change shall not be considered an assignment.

11.2. PUBLIC ANOUNCEMENTS

Neither Party may publicize or disclose to any third party, without the written consent of the other Party, either the terms of this Agreement or the fact of its existence and execution, except as may be necessary to comply with other obligations stated in this Agreement or as otherwise required by law.

11.3. FORCE MAJEURE AND EXCUSED EVENT

(a) Neither Party will be liable for performance delays or for non-performance due to causes beyond its reasonable control including but not limited to natural disasters or governmental acts.

(b) Where a Party's ability to meet its obligations under this Agreement is adversely affected by an act beyond its control, it shall immediately notify the other Party of that circumstance, and shall use its best endeavors to minimize any delays.

(c) In the event of non-performance due to causes beyond a Party's control, continuing for more than one (1) month, the Party not-in-default shall be entitled to terminate this Agreement by providing seven (7) days notice to the non-performing Party.

11.4. WAIVER

Either Party's failure to exercise any of its rights under this Agreement will not constitute or be deemed to constitute a waiver or forfeiture of such rights.

11.5. **SURVIVAL**

All the sections of this Agreement which by their nature are intended to survive the termination, shall survive any termination of this Agreement.

11.6. **SEVERABILITY**

If any term or provision of this Agreement is held to be invalid, illegal or unenforceable, the validity, legality or enforceability of the remaining provisions shall in no way be affected or impaired thereby, and the Parties shall substitute for the affected portion an enforceable provision(s) which most closely approximates the intent and the economic effect thereof.

11.7. **NOTICES**

All notices, requests, or other communications (excluding invoices) hereunder must be in writing and transmitted via overnight courier, electronic mail, hand delivery, or certified or registered mail, postage prepaid and return receipt requested at the address at the addresses below.

To Verizon Business:

Verizon Business Services	Verizon Business Services
1 Telecom Parkway	22001 Loudoun County Parkway
Temple Terrace, FL 33637 Attn: Regional Sales Manager	Ashburn, VA 20147 Attn: Vice President, Legal

TO HCL:

330 POTRERO ~~AVE~~ AVE CQ1
SUNNYVALE, CA 94085

11.8. **GOVERNING LAW**

This Agreement shall be governed by, and construed in accordance with, the laws of the State of Florida, without regard to conflict of law doctrines.

11.9. **ENTIRE AGREEMENT**

(a) This Agreement constitutes the entire agreement between the Parties, and supersedes any previous or contemporaneous communications, representations, agreements or undertakings between the Parties, whether oral or written, regarding the subject matter of this Agreement.

(b) This Agreement may not be modified in any manner except by an instrument in writing signed by a duly authorized officer or representative of each of the Parties hereto. This paragraph may not be waived, expressly or implicitly.

IN WITNESS WHEREOF, the Parties have caused this Agreement to be duly executed on the date set forth above.

For and on Behalf of **HCL**	For and on Behalf of **Verizon Business**
HCL America, Inc.	**Verizon Business Network Services Inc. on behalf of MCI Communications Services, Inc. doing business as Verizon Business Services**
Signed by:	**Signed by:**
Name: VASU D. SRINIVARAN	**Name:** Suleiman Hessami
Position: VICE PRESIDENT	**Position:** VP, Pricing and Contracts Management
Date: July 12, 2010	**Date:**

10.3.2 HCL-Impression Technology, Inc Contract

HCL

TEAMING AGREEMENT

This teaming agreement ("**Agreement**") is made on June 22nd 2010 ("**Effective Date**") by and between:

(1) **HCL America, Inc** a company incorporated under the laws of US, having its registered office at 330 Potrero Avenue, Sunnyvale, CA. ("**HCL**"); **and**

(2) **Impression Technology, Inc**, a company incorporated under the laws of the State of California, having its registered office at 1777 N. California Blvd, Suite 240, Walnut Creek, CA. 94596 ("**Company**");

Wherein HCL and Company are individually referred to as a "Party" and jointly referred to as "Parties".

WHEREAS:

a) HCL is a leading global information technology company offering integrated portfolio of services including technology solutions, software products, consulting, remote infrastructure management and business process outsourcing solutions to its customers.

b) Company is the developer and owner of the iCapture/iRemit software for data capture and remittance processing and a System Integrator for this suite of products.

c) HCL and Company intends to work together in a collaborative manner to pursue business opportunity for provision of Unemployment Insurance system ("**Opportunity**") with Agency for Workforce Innovation, Florida ("**Prospect**"). The Parties have concluded that a mutual effort in pursuing this opportunity would be advantageous to both Parties.

THEREFORE, in consideration of the foregoing and the mutual covenants contained herein, the Parties agree as set out below:

1. SCOPE OF AGREEMENT

1.1. This Agreement sets forth the terms and conditions under which the Parties and their Affiliates will co-operate to combine their complementary skills and expertise, in the preparation of a competitive proposal ("**Proposal**") and for provision of services ("**Project**"). For the purpose of this Agreement, "**Affiliates**" shall mean any legal entity which, is directly or indirectly controlling, controlled by or under the common control of a Party.

1.2. HCL shall act as the primary contracting/bidding party ("**Prime**") and Impression Technology shall act as partner ("**Partner**") for such Opportunity. The use of the terms "Prime" and "Partner" hereinafter in this Agreement shall be understood accordingly.

2. RELATIONSHIP OF THE PARTIES

2.1. The relationship hereby established between the Parties is solely that of independent contractors. Nothing contained in this Agreement shall be deemed to authorize either Party to act for, represent, or bind the other Party except as expressly provided in this Agreement.

2.2. Partner agrees that it shall not independently pursue the Opportunity, nor participate as a member of the competing team, or make proposals or agreements in support of the efforts of other entities competing for such Opportunity other than as a member of the team created by this Agreement, or, except through Prime's Proposal to the Prospect pursuant hereto.

2.3. Subject to clause 2.2, nothing contained in this Agreement shall restrict either Party from quoting, offering to sell, or selling to others any item or services which it regularly offers for sale and which are not unique to this Agreement, Opportunity or Proposal, even though they may be included in Prime's Proposal to a Prospect.

3. OBLIGATIONS OF THE PARTIES

3.1. **WORK SHARE AND PREPARATION OF PROPOSAL**

a) Prime and Partner shall perform their respective responsibilities and obligations, for preparation of a competitive Proposal for the Project in accordance with Annexure A.

1 | Confidential

b) Both Parties will draw up, at their own cost and expenses, the relevant parts of the Proposal with respect to their respective responsibilities and, subject to interdependencies between the Parties, each Party shall be solely responsible for the representations, undertakings and commitments made by such Party in its portion of the Proposal.

c) Partner shall submit to the Prime, a draft of Partner's portion of the Proposal. Both Parties shall use their best efforts to finalize the Proposal no later than the date so requested by Prospect. Prime shall be responsible for preparation of final content and submission of overall Proposal to Prospect.

d) Both Parties will use reasonable commercial efforts (including making available all required resources) in accordance with their normal business practices and pricing methodologies and shall meet regularly to review and discuss the progress and to resolve any issue, in the preparation of a competitive Proposal.

e) Partner undertakes that it shall adhere to all the representations and warranties made in its portion of the Proposal and has all the necessary approvals (including any government or regulatory approvals) for providing the same.

f) Partner shall use its best endeavors to support and provide Prime with competitive prices and discounts for the products and services that it is delivering during the development of the Proposal and Prime's negotiation with the Prospect so as to fulfill the Prospect's requirement.

3.2. **AMENDMENT TO PROPOSAL**

a) Partner agrees that it shall not withdraw and/or amend its proposal after submission with Prospect except with prior approval of Prime.

b) If, after submission of the Proposal, Prospect requires changes to the Proposal which relate to Partner's scope of work, Prime will co-ordinate with Partner and obtain Partner's consent prior to submitting the revised Proposal. Partner shall submit such revised proposal, within such period as is mutually agreed by the Parties, which shall be no later than the date requested by the Prospect.

3.3. **AWARD OF PROJECT**

a) Both Parties will co-operate in good faith and use reasonable commercial efforts to ensure the acceptance of the Proposal and the award of the Project by Prospect. Where requested by Prime, Partner shall provide all reasonable support in defending the Proposal including participating in presentations related to Partner's scope of work.

b) Prime shall not during negotiations with Prospect, without the prior consent of Partner, give any commitments or make any representations inconsistent with the terms of Agreement which affects the responsibilities, obligations or rights of Partner in respect of the Proposal or Project.

c) Prime will keep Partner regularly informed of the progress of any negotiations with Prospect and will notify Partner in writing as soon as reasonably possible of the receipt by Prime of the written acceptance or refusal by Prospect of the Proposal.

d) Upon award of the Project by the Prospect, Prime shall make all reasonable efforts to enter into a final contract ("**Prime Contract**") with the Prospect.

e) Partner undertakes that it shall not claim any loss or damages on account of a lost Opportunity or non-award of contract by Prospect to Prime, for any reason whatsoever.

3.4. **TRANSACTION AGREEMENTS**

a) Upon acceptance of the Proposal by Prospect, Partner shall enter into a subcontract or such other agreements as may be necessary, substantially on a back to back basis with the terms of the Prime Contract relating to the Partner's scope of work ("**Transaction Agreements**"), with Prime (or jointly with Prospect, if so agreed). The Transaction Agreement will be negotiated between the Parties either in advance of or simultaneous with the negotiation and execution of the Prime Contract.

b) The Parties agree to arrive at the final price and scope of work based on the final award made by the Prospect, which shall be specified in Transaction Agreement. The scope of work, charges and other terms and conditions for the Project, as agreed in the Transaction Agreement, will be final and binding between the Parties. The Transaction Agreement, upon execution, shall supersede this Agreement.

c) Partner understands and agree that Prospect may require Prime to agree to additional terms and conditions other than those specified in the Proposal or Transaction Agreement. The Transaction Agreements shall be amended to incorporate such additional terms and conditions to the extent agreed between the Parties.

d) Each Party's liability to the other Party and/or Prospect, concerning performance or non-performance, or in any manner related to the Project, for any and all claims, regardless of the form of action, shall not exceed the limits expressly agreed in the Transaction Agreement.

4. REPRESENTATIONS AND WARRANTIES

4.1. Each Party represents, warrants and undertakes to the other Party as follows:

a) the Party has the capacity and authority to enter into this Agreement;

b) the persons entering into this Agreement on behalf of the Party have been duly authorized to do so;

c) this Agreement and the obligations created hereunder are binding upon the Party and enforceable against the Party in accordance with their terms (subject to applicable principles of equity) and do not and will not violate the terms of any other agreement, or any judgment or court order, by which the Party is bound;

d) there is no proceeding pending or threatened which to the Party's knowledge, challenges or may have a material adverse impact on this Agreement or the ability of the Party to perform its obligations pursuant to this Agreement; and

e) it has not withheld any information which is required for effective performance of the obligations pursuant to this Agreement and that information's provided to the other Party are complete, true and accurate to the best of its knowledge and belief.

4.2. Each Party acknowledges that the other Party has entered into this Agreement in reliance on the representations, warranties and undertakings set out in this clause 4.1.

5. CONFIDENTIALITY OBLIGATIONS

5.1. CONFIDENTIAL INFORMATION

a) Either Party may disclose Confidential Information under this Agreement and shall, in doing so, be referred to as the "**Discloser**" hereunder. The other Party when receiving Confidential Information shall be referred to as the "**Recipient**".

b) The information disclosed by Discloser relating to the Opportunity, Prospect, Project and Discloser's business, including, without limitation, computer programs (including source code(s)), technical drawings, algorithms, know-how, processes, designs, reports, specifications, ideas, trade secrets, inventions, pricing information, business and financial plans, strategies and information, is hereinafter referred to as "**Confidential Information**" of the Discloser.

c) Information which is orally or visually disclosed to the Recipient by the Discloser, or is disclosed in writing without being marked as confidential, shall constitute Confidential Information, if the Discloser, within seven (7) days after such disclosure, delivers to the Recipient written document(s) describing such Confidential Information and referencing the place and date of such oral or visual disclosure and the names of the employees or officers of the Recipient to whom such disclosure was made.

d) Notwithstanding the forgoing, any other information which is reasonably understood to be confidential or proprietary based on the circumstances of disclosure or the nature of the information itself or any information pertaining to the Prospect, such information shall be treated as Confidential Information at all times.

e) The Confidential Information shall not include any information that

i) is lawfully known by the Recipient at the time of disclosure without any obligation to keep the same confidential,

ii) is or becomes through no fault of the Recipient available to the public,

iii) is independently developed by the Recipient without use or reference to such Confidential Information,

iv) is authorized to be disclosed in writing by the Discloser, or

v) is rightfully disclosed to it by a third party without restriction.

5.2. **NON-DISCLOSURE OBLIGATIONS**

a) The Recipient shall, and shall procure that its employees shall:

i. keep the Confidential Information as confidential;

ii. not disclose the Confidential Information to any person (except as provided in clauses 5.2.c and 5.2.d), unless it first obtains the written consent of the Discloser; and

iii. not use the Confidential Information for any purpose not permitted under this Agreement.

b) Without limiting the foregoing, Recipient agrees that it will exercise the highest standard of care in protecting the Discloser's Confidential Information and such standard shall not be lower than the standards used by Recipient in protecting its own Confidential Information of a similar nature.

c) Recipient may only disclose the Confidential Information to its Affiliates and their employees or third party contractors with a need to know the information for the implementation of this Agreement.

d) Recipient may disclose Confidential Information where it is required to be disclosed by law or order or any court or regulatory body of competent jurisdiction provided that the Recipient shall notify the Discloser prior to making any such disclosure in order to provide such Discloser an opportunity to seek an appropriate protective order or other relief to prevent such disclosure unless prohibited from doing so by applicable law. The Recipient shall cooperate fully (at the Discloser's expense) in all efforts to prevent or minimize the disclosure of the Discloser's Confidential Information.

e) Upon request by Discloser, Recipient will return and/or destroy all documents or media containing any such Confidential Information provided that Recipient may retain copies of Confidential Information to the extent necessary to meet any statutory requirements.

f) Notwithstanding anything to the contrary under this Agreement, any Proposal, Addendum or Transaction Agreement and subject to the prime contract between Prime and Prospect, the Confidential Information of the Prospect shall be treated as confidential at all times, without limitation, irrespective of the method of disclosure to the Recipient. Confidentiality obligations with respect to source code(s) and trade secrets shall be perpetual.

6. **INTELLECTUAL PROPERTY RIGHTS (IPRs)**

6.1. **"Intellectual Property Rights"** or **"IPRs"** shall mean patents, copyright, registered designs, trade marks and service marks (whether registered or not), database rights, design rights, moral rights and other property rights in any jurisdictions and that grant similar rights as the foregoing, including those subsisting in inventions, drawings, performances, software, semiconductor topographies, business names, and in applications for the protection of any of the foregoing.

6.2. Parties agree that where a Party and/or its Affiliates (**"First Party"**) owns or has rights in any IPRs, such First Party shall continue to own and retain rights in any such IPRs (including any modifications, adaptations, derivative works and enhancements thereto) which are provided or used by the First Party, pursuant to this Agreement. The other Party does not acquire any rights, express or implied, from the First Party and hereby waives any claim that it may have had or has to title and ownership in and to the First Party IPRs.

6.3. Parties acknowledge and agree that rights in any third party IPRs shall continue to be with such third party only and use of any such third party software shall be governed by the terms of End User License Agreement ("EULA") with such third party.

6.4. Each Party shall indemnify the other Party from and against any and all claims, demands, proceedings and judgments made against the other Party in respect of any infringement or alleged infringement of any IPR arising from use of any IPR, information or data provided to the other Party.

7. **TERM AND TERMINATION**

7.1. The term of this Agreement shall commence on the Effective Date and unless the Agreement is terminated at an earlier date, shall expire upon completion of one (1) years from the Effective Date.

7.2. **TERMINATION OF AGREEMENT**

This Agreement may be terminated:

a) By either Party,

(i) For convenience, where the Proposal has not been submitted to the Prospect, upon giving fifteen (15) days written notice to other Party.

(ii) Immediately upon notice, in the event of insolvency, bankruptcy, reorganization under the bankruptcy laws or assignment for the benefit of creditors of either Party.

b) By Prime, without any prior notice, upon breach of clause 2.2.

c) By the aggrieved Party, upon notice, where breaching Party commits a material breach of Agreement, which is:

(i) Incapable of being remedied; or

(ii) Capable of being remedied, remains un-remedied, within a period of thirty (15) days after receipt of notice from aggrieved Party requiring that the breach be remedied.

d) Upon the occurrence of any of the following events:

(i) Mutual agreement of the Parties to terminate their relationship in relation to such Proposal;

(ii) Notice from the Prospect that it will not award a contract for such Project or that it has awarded the contract to an entity other than the Prime;

(iii) Written notice from the Prospect stating its disapproval of Partner, as a subcontractor for the corresponding Project; or

(iv) Execution of the Transaction Agreement by and between the Parties upon the award of the contract by the Customer

7.3. **CONSEQUENCES OF TERMINATON**

The termination of this Agreement shall be without prejudice to the rights and obligation of the Parties that have accrued under this Agreement prior to such termination.

8. **LIABILITY**

8.1. Except as provided under clause 8.2, neither Party under this Agreement shall be liable for (a) any indirect, consequential, incidental, punitive, exemplary or special losses arising under or in connection with this Agreement, whether arising in contract, tort (including negligence), misrepresentation or otherwise (b) loss of data/programs, anticipated savings, loss of revenue, profits or goodwill, even if the loss or damages was reasonably foreseeable or a Party has been advised of the possibility of such damages.

8.2. To the extent such exclusion or limitation is not prohibited by applicable law, neither Party excludes or limits its liability to the other Party for any losses, caused due to:

a) gross negligence or willful misconduct;

b) fraud, fraudulent or reckless misrepresentation

c) death or personal injury; or

d) breach of clause 5 (*Confidentiality obligations*), clause 5.1 (*IPRs*).

8.3. In the case of both the Parties acting independently of each other in the supply by each Party of its products or services for the Opportunity, the liability shall be strictly several and not joint.

8.4. In the case of contributory negligence, a Party's liability to the other Party under or in connection with this Agreement and Transaction Agreements will be reduced proportionately by the extent, if any, to which the acts or omissions of the first Party or those of any of its Personnel caused or contributed to the relevant loss or damage suffered or incurred by the second Party.

9. DISPUTE RESOLUTION

9.1. In the event of a dispute concerning the conclusion, validity, interpretation or performance of this Agreement, the Parties shall make every reasonable effort to reach an amicable settlement in good faith. However, failing amicable understanding between the Parties, any controversy, claim, or dispute arising under or relating to this Agreement, including the existence, validity, interpretation, performance, termination or breach thereof, shall be settled finally by arbitration in San Jose, California US under the commercial arbitration rules of American Arbitration Association.

9.2. Notwithstanding anything to the contrary stated in this Agreement, either Party shall have the right to seek injunctive relief from any courts of appropriate jurisdiction for breach of confidentiality or infringement of any intellectual property rights.

10. NON SOLICITATION

10.1. Neither Party shall during the term of this Agreement and for a period of one (1) year thereafter, directly or indirectly, solicit or recruit the employees of the other Party who are directly involved or associated with the Opportunity, Proposal and/or the Project at any time during the term of this Agreement.

11. GENERAL

11.1. ASSIGNMENT

Neither Party may assign this Agreement or any part thereof and/or any of its rights and/or obligations hereunder, to any third party, without the express written consent (not to be unreasonably withheld or delayed) of the other Party and any such assignment in contravention of this provision shall be void. This Agreement shall be binding upon the successors and permitted assigns of both the Parties.

11.2. PUBLIC ANOUNCEMENTS

Neither Party may publicize or disclose to any third party, without the written consent of the other Party, either the terms of this Agreement or the fact of its existence and execution, except as may be necessary to comply with other obligations stated in this Agreement or as otherwise required by law.

11.3. FORCE MAJEURE AND EXCUSED EVENT

a) Neither Party will be liable for performance delays or for non-performance due to causes beyond its reasonable control including but not limited to natural disasters or governmental acts.

b) Where a Party's ability to meet its obligations under this Agreement is adversely affected by an act beyond its control, it shall immediately notify the other Party of that circumstance, and shall use its best endeavors to minimize any delays.

c) In the event of non-performance due to causes beyond a Party's control, continuing for more than one (1) month, the Party not-in-default shall be entitled to terminate this Agreement by providing seven (7) days notice to the non-performing Party.

11.4. WAIVER

Either Party's failure to exercise any of its rights under this Agreement will not constitute or be deemed to constitute a waiver or forfeiture of such rights.

11.5. SURVIVAL

All the sections of this Agreement which by their nature are intended to survive the termination, shall survive any termination of this Agreement.

11.6. SEVERABILITY

If any term or provision of this Agreement is held to be invalid, illegal or unenforceable, the validity, legality or enforceability of the remaining provisions shall in no way be affected or impaired thereby, and the Parties shall substitute for the affected portion an enforceable provision(s) which most closely approximates the intent and the economic effect thereof.

11.7. NOTICES

All notices related to this Agreement shall be in writing and delivered by reliable overnight delivery service, to the registered address of each Party.

11.8. **GOVERNING LAW**

This Agreement shall be governed by, and construed in accordance with, the laws of US without regard to conflict of law doctrines.

11.9. **ENTIRE AGREEMENT**

a) This Agreement constitutes the entire agreement between the Parties, and supersedes any previous or contemporaneous communications, representations, agreements or undertakings between the Parties, whether oral or written, regarding the subject matter of this Agreement.

b) This Agreement may not be modified in any manner except by an instrument in writing signed by a duly authorized officer or representative of each of the Parties hereto. This paragraph may not be waived, expressly or implicitly.

IN WITNESS WHEREOF, the Parties have caused this Agreement to be duly executed on the date set forth above.

For and on Behalf of **HCL**	For and on Behalf of **Company**
HCL America, Inc.	**Impression Technology, Inc.**
Signed by:	**Signed by:**
Name: VASU D. SRINIVASAN	**Name:** Bruce E. Lechner
Position: VICE PRESIDENT	**Position:** Vice President
Date: JULY 12, 2010	**Date:** July 7, 2010

10.3.3 University of South Florida LOI

UNIVERSITY OF SOUTH FLORIDA

HCL America ("HCL")

330 Potrero Avenue

Sunnyvale, CA 94085-4194

RE: Letter of Intent concerning the submission of a proposal to the below listed Client in response to the Client's Invitation to Negotiate

Client: Agency for Workforce Innovation

ITN No. : 10-ITN-001-SS

It is the intent of USF to act as a team with HCL America solely for the purpose of providing system application training relevant to Florida's Agency for Workforce Innovation ITN # 10-ITN-001-SS. In the event of a contract award to HCL, HCL and USF shall develop an agreement encompassing the following key Scope of Work elements consistent with USF's budget submitted to HCL:

- Complete and assessment of end user needs as they relate to system training and in the context of their Agency process roles
- Develop and maintain an approved Training Implementation Plan
- Develop curricula for each of 2 system Implementation Phases
  - Phase 1 – Internet self-service application for claimants
  - Phase 2 – Full Integrated System application training
    - Primary training including material for all aspects of the business process for all end users (approximately 670) in a computer classroom- based program in small groups of up to 20 concurrent trainees.
    - Advanced training for Super Users designed to be provided in smaller groups with user-level appropriate business process simulations and problem solving scenarios.
    - Advance comprehensive user, technical, and customer support strategies/methods training for Customer Service, Help Desk, and User Support Specialists and other technical and system administration personnel as may be identified.

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UNIVERSITY OF SOUTH FLORIDA

- Remedial and new staff training opportunities during implementation to ensure required skill mastery and accommodate workforce turnover issues.

- Secure suitable classroom computer training facilities in which to conduct training
- Conduct hands-on classroom computer training in each of 6 designated locations to approximately 700 end users prior to system implementation
- Develop and provide post-training competency evaluation to ensure knowledge transfer and desirable skill level development for all trainees.
- Plan and coordinate training sessions; Develop and implement an online training schedule and trainee registration process for each training session
- Provide web based online training material and information and updates throughout the implementation process.
- Maintain a continuous evaluation and quality improvement process for training content and training delivery.
- Collect data; develop and submit reports as required related to training, trainee evaluation, training staff, and all aspects of the approved Training Implementation Plan.

Regards,

Rebecca Puig 7/13/10

Rebecca Puig Date

Acting Director

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10.4 Bill of Materials

10.4.1 Bill of Materials for Hardware

Item	Quantity
Blade Server Enclosure, No Blades, M1000E, PowerEdge (223-3244)	1
Cisco Catalyst 3130X, 10GE Capable, Redundant (223-5387)	1
PowerEdge M610 Blade Server; 56XX Processors (224-8593)- 3.0 GHz 4GB Memory (4x1GB),	7
PowerEdge M910 Blade Server (224-8741) - 2x1.86 GHz 16 GB memory(8x2GB)	1
PowerEdge M710 Blade Server; 56XX Processors (224-8588) 3.06 GHz 4x 1GB memory	15
PowerEdge M910 Blade Server (224-8741) 2x 1.86 GHz 16 GB (8x2GB) memory	3
IBM Model P 520 4.2GHz Power6 2-core	2
IBM Model P 550 4.2GHz Power6 8-core	7
IBM Model P 550 4.2GHz Power6 6-core	2
Hardware Installation, Project Management and Professional Services	1

10.4.2 Bill of Materials for Software

Component (E.g., Database, Application Tier, Web Tier, Workflow, Identity Mgt, Portal, etc.)	Description (Supplier, Product name and version)	QTY
Developer Tool	Adobe RoboHelp	4
Development and Prod	IBM FileNet Business Process Manager Authorized User Value Unit License + SW Subscription & Support 12 Months	1
Development and Prod	IBM FileNet eMail Manager Authorized User Value Unit License + SW Subscription & Support 12 Months	1
Development and Prod	IBM FileNet Content Manager External User Value Unit License + SW Subscription & Support 12 Months	1
Database Server - Prod	SQL Server Enterprise Edition 2003	9
Address Validations - Test	Code 1 Address Validation	1
Address Validations - Prod	Code 1 Address Validation	1
Correspondence Generation	Thunderhead Now Platform	1
ESB	JBoss Enterprise SOA Platform (4 CPU)	1
J2EE Application Server	JBoss Enterprise Application Platform (32 CPU)	1
RightFax	RightFax	2
Data Capture Software	iCapture	1
Monitoring tool	IBM Tivoli Composite Application Manager for Applications	1
Network Monitor	SolarWinds Orion Network Performance Monitor	1

10.5 Project Schedule

FL UI Project Plan.mpp

SECTION REDACTED

10.7 Sample Document Templates REDEACTED SECTION

SECTION REDACTED