FULLY EXECUTED - REPRINT

Purchase Order No: 4300450013

Original PO Effective Date: **03/10/2015**

PO Issue Date: **03/10/2015**

Valid From: 03/01/2015 To 03/31/2018

Your SAP Vendor #: 331751

Supplier Name/Address:
CSG GOVERNMENT SOLUTIONS INC
180 N STETSON AVE STE 3200
Chicago IL 60601-6790 US

Supplier Phone Number: 312-444-2760

Supplier Fax Number: 312-938-2191

Purchasing Agent
Name: Mike Schindler
Phone: 717-346-7667
Fax: 717-705-5554

Please Deliver To:
DLI OIT - PROCUREMENT
651 Boas Street, 13th Floor
Harrisburg PA 17121-0750 US

Please Bill To:
Commonwealth of Pennsylvania - PO Invoice
PO Box 69180
Harrisburg, Pennsylvania 17106

For a Paperless Email Invoice option, visit
www.budget.state.pa.us
Click Vendor Services and select E-Invoicing

Purchase Order Description:
BES-FAD-14-173 UC Benefits ProjMgmt+IVV

This Purchase Order is issued pursuant to the referenced Contract and constitutes the Suppliers authority to deliver the item(s) referenced below at the prices stated below to the location(s) identified above in accordance with the Contract terms and conditions.

Suppliers must provide four mandatory elements on PO invoices: PO Number, Invoice Date, Invoice Number, and Invoice Gross Amount. Failure to comply will result in the return of the invoice. Additional optional information such as supplier name, address, remit to information and PO Line Item information will improve invoice processing.

Item	Material/Service Desc	Qty	UOM	Delivery Date	Net Price	Price Unit	Total
1	320606 Project Charter >>> Rel. ord. against contract 4400010630 Item 12	1.000	Each	04/08/2015	5,800.00	1	5,800.00
2	320606 Project Management Plan Payment #1 >>> Rel. ord. against contract 4400010630 Item 12	1.000	Each	05/31/2015	264,040.00	1	264,040.00
3	320606 Request for Information	1.000	Each	06/18/2015	55,104.00	1	55,104.00

Information:

Total Amount:
SEE LAST PAGE FOR TOTAL OF ALL ITEMS

Currency: USD

Supplier's Signature _____ **Title** _____

Printed Name _____ **Date** _____

FULLY EXECUTED - REPRINT
Purchase Order No: 4300450013
Original PO Effective Date: **03/10/2015**
PO Issue Date: **03/10/2015**
Valid From: 03/01/2015 To 03/31/2018

Supplier Name:
CSG GOVERNMENT SOLUTIONS INC

Item	Material/Service Desc	Qty	UOM	Delivery Date	Net Price	Price Unit	Total
	>>> Rel. ord. against contract 4400010630 Item 12						
4	320606 Project Management Plan Payment #2	1.000	Each	08/31/2015	262,500.00	1	262,500.00
	>>> Rel. ord. against contract 4400010630 Item 12						
5	320606 Technical Assessment Document	1.000	Each	09/08/2015	126,188.00	1	126,188.00
	>>> Rel. ord. against contract 4400010630 Item 12						
6	320606 Detailed Req Doc & Traceability Matrix	1.000	Each	10/08/2015	430,064.00	1	430,064.00
	>>> Rel. ord. against contract 4400010630 Item 12						
7	320606 Technical Road Map	1.000	Each	10/14/2015	153,544.00	1	153,544.00
	>>> Rel. ord. against contract 4400010630 Item 12						
8	320606 Finalized Statement of Work	1.000	Each	11/13/2015	316,544.00	1	316,544.00
	>>> Rel. ord. against contract 4400010630 Item 12						
9	320606 Project Management Plan Payment #3	1.000	Each	11/30/2015	262,500.00	1	262,500.00
	>>> Rel. ord. against contract 4400010630 Item 12						

Information:

Total Amount:
SEE LAST PAGE FOR TOTAL OF ALL ITEMS

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FULLY EXECUTED - REPRINT

Purchase Order No: 4300450013

Original PO Effective Date: **03/10/2015**

PO Issue Date: **03/10/2015**

Valid From: 03/01/2015 To 03/31/2018

Supplier Name:

CSG GOVERNMENT SOLUTIONS INC

Item	Material/Service Desc	Qty	UOM	Delivery Date	Net Price	Price Unit	Total
10	320606 Project Management Plan Payment #4 >>> Rel. ord. against contract 4400010630 Item 12	1.000	Each	02/29/2016	262,500.00	1	262,500.00
11	320606 Finalized Document for Contract >>> Rel. ord. against contract 4400010630 Item 12	1.000	Each	05/12/2016	52,720.00	1	52,720.00
12	320606 Project Management Plan Payment #5 >>> Rel. ord. against contract 4400010630 Item 12	1.000	Each	05/31/2016	262,500.00	1	262,500.00
13	320605 Project Management Plan Payment #6 >>> Rel. ord. against contract 4400010630 Item 10	1.000	Each	08/31/2016	262,500.00	1	262,500.00
14	320605 Project Management Plan Payment #7 >>> Rel. ord. against contract 4400010630 Item 10	1.000	Each	11/30/2016	262,500.00	1	262,500.00
15	320605 Project Management Plan Payment #8 >>> Rel. ord. against contract 4400010630 Item 10	1.000	Each	02/28/2017	262,500.00	1	262,500.00
16	320605 Project Management Plan Payment #9	1.000	Each	05/31/2017	262,500.00	1	262,500.00

Information:

Total Amount:

SEE LAST PAGE FOR TOTAL OF ALL ITEMS

Currency: USD

FULLY EXECUTED - REPRINT
Purchase Order No: 4300450013
Original PO Effective Date: **03/10/2015**
PO Issue Date: **03/10/2015**
Valid From: 03/01/2015 To 03/31/2018

Supplier Name:
CSG GOVERNMENT SOLUTIONS INC

Item	Material/Service Desc	Qty	UOM	Delivery Date	Net Price	Price Unit	Total
	>>> Rel. ord. against contract 4400010630 Item 10						
17	320605 Project Management Plan Payment #10	1.000	Each	08/31/2017	262,500.00	1	262,500.00
	>>> Rel. ord. against contract 4400010630 Item 10						
18	320605 Project Management Plan Payment #11	1.000	Each	11/30/2017	262,500.00	1	262,500.00
	>>> Rel. ord. against contract 4400010630 Item 10						
19	320605 IV&V Management Plan Payment #1	1.000	Each	06/30/2016	68,000.00	1	68,000.00
	>>> Rel. ord. against contract 4400010630 Item 10						
20	320605 IV&V Management Plan Payment #2	1.000	Each	07/31/2016	68,000.00	1	68,000.00
	>>> Rel. ord. against contract 4400010630 Item 10						
21	320605 IV&V Management Plan Payment #3	1.000	Each	08/31/2016	68,000.00	1	68,000.00
	>>> Rel. ord. against contract 4400010630 Item 10						
22	320605 IV&V Management Plan Payment #4	1.000	Each	09/30/2016	68,000.00	1	68,000.00
	>>> Rel. ord. against contract 4400010630 Item 10						

Information:

Total Amount:
SEE LAST PAGE FOR TOTAL OF ALL ITEMS

Currency: USD

FULLY EXECUTED - REPRINT

Purchase Order No: 4300450013

Original PO Effective Date: **03/10/2015**

PO Issue Date: **03/10/2015**

Valid From: 03/01/2015 To 03/31/2018

Supplier Name:

CSG GOVERNMENT SOLUTIONS INC

Item	Material/Service Desc	Qty	UOM	Delivery Date	Net Price	Price Unit	Total
23	320605 IV&V Management Plan Payment #5 >>> Rel. ord. against contract 4400010630 Item 10	1.000	Each	10/31/2016	68,000.00	1	68,000.00
24	320605 IV&V Management Plan Payment #6 >>> Rel. ord. against contract 4400010630 Item 10	1.000	Each	11/30/2016	68,000.00	1	68,000.00
25	320605 IV&V Management Plan Payment #7 >>> Rel. ord. against contract 4400010630 Item 10	1.000	Each	12/31/2016	68,000.00	1	68,000.00
26	320605 IV&V Management Plan Payment #8 >>> Rel. ord. against contract 4400010630 Item 10	1.000	Each	01/31/2017	68,000.00	1	68,000.00
27	320605 IV&V Management Plan Payment #9 >>> Rel. ord. against contract 4400010630 Item 10	1.000	Each	02/28/2017	68,000.00	1	68,000.00
28	320605 IV&V Management Plan Payment #10 >>> Rel. ord. against contract 4400010630 Item 10	1.000	Each	03/31/2017	68,000.00	1	68,000.00
29	320605 IV&V Management Plan Payment #11	1.000	Each	04/30/2017	68,000.00	1	68,000.00

Information:

Total Amount:

SEE LAST PAGE FOR TOTAL OF ALL ITEMS

Currency: USD

FULLY EXECUTED - REPRINT
Purchase Order No: 4300450013
Original PO Effective Date: **03/10/2015**
PO Issue Date: **03/10/2015**
Valid From: 03/01/2015 To 03/31/2018

Supplier Name:
CSG GOVERNMENT SOLUTIONS INC

Item	Material/Service Desc	Qty	UOM	Delivery Date	Net Price	Price Unit	Total
	>>> Rel. ord. against contract 4400010630 Item 10						
30	320605 IV&V Management Plan Payment #12 >>> Rel. ord. against contract 4400010630 Item 10	1.000	Each	05/31/2017	68,000.00	1	68,000.00
31	320605 IV&V Management Plan Payment #13 >>> Rel. ord. against contract 4400010630 Item 10	1.000	Each	06/30/2017	45,900.00	1	45,900.00
32	320605 IV&V Management Plan Payment #14 >>> Rel. ord. against contract 4400010630 Item 10	1.000	Each	07/31/2017	45,900.00	1	45,900.00
33	320605 IV&V Management Plan Payment #15 >>> Rel. ord. against contract 4400010630 Item 10	1.000	Each	08/31/2017	45,900.00	1	45,900.00
34	320605 Test Plans >>> Rel. ord. against contract 4400010630 Item 10	1.000	Each	09/06/2017	46,200.00	1	46,200.00
35	320605 Use Cases >>> Rel. ord. against contract 4400010630 Item 10	1.000	Each	09/06/2017	94,400.00	1	94,400.00

Information:

Total Amount:
SEE LAST PAGE FOR TOTAL OF ALL ITEMS

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FULLY EXECUTED - REPRINT

Purchase Order No: 4300450013

Original PO Effective Date: **03/10/2015**

PO Issue Date: **03/10/2015**

Valid From: 03/01/2015 To 03/31/2018

Supplier Name:

CSG GOVERNMENT SOLUTIONS INC

Item	Material/Service Desc	Qty	UOM	Delivery Date	Net Price	Price Unit	Total
36	320605 IV&V Management Plan Payment #16 >>> Rel. ord. against contract 4400010630 Item 10	1.000	Each	09/30/2017	45,900.00	1	45,900.00
37	320605 IV&V Management Plan Payment #17 >>> Rel. ord. against contract 4400010630 Item 10	1.000	Each	10/31/2017	45,900.00	1	45,900.00
38	320605 IV&V Management Plan Payment #18 >>> Rel. ord. against contract 4400010630 Item 10	1.000	Each	11/30/2017	45,900.00	1	45,900.00
39	320605 IV&V Management Plan Payment #19 >>> Rel. ord. against contract 4400010630 Item 10	1.000	Each	12/31/2017	45,900.00	1	45,900.00
40	320605 IV&V Management Plan Payment #20 >>> Rel. ord. against contract 4400010630 Item 10	1.000	Each	01/31/2018	45,900.00	1	45,900.00
41	320605 IV&V Management Plan Payment #21 >>> Rel. ord. against contract 4400010630 Item 10	1.000	Each	02/28/2018	45,900.00	1	45,900.00
42	320605 IV&V Management Plan Payment #22	1.000	Each	03/31/2018	45,900.00	1	45,900.00

Information:

Total Amount:

SEE LAST PAGE FOR TOTAL OF ALL ITEMS

Currency: USD

FULLY EXECUTED - REPRINT
Purchase Order No: 4300450013
Original PO Effective Date: **03/10/2015**
PO Issue Date: **03/10/2015**
Valid From: 03/01/2015 To 03/31/2018

Supplier Name:
CSG GOVERNMENT SOLUTIONS INC

Item	Material/Service Desc	Qty	UOM	Delivery Date	Net Price	Price Unit	Total
	>>> Rel. ord. against contract 4400010630 Item 10						
43	320605 IV&V Management Plan Payment #23	1.000	Each	04/30/2018	45,900.00	1	45,900.00
	>>> Rel. ord. against contract 4400010630 Item 10						
44	320605 IV&V Management Plan Payment #24	1.000	Each	05/31/2018	45,900.00	1	45,900.00
	>>> Rel. ord. against contract 4400010630 Item 10						
45	320605 IV&V Management Plan Payment #25	1.000	Each	06/30/2018	18,020.00	1	18,020.00
	>>> Rel. ord. against contract 4400010630 Item 10						
46	320605 IV&V Management Plan Payment #26	1.000	Each	07/31/2018	18,020.00	1	18,020.00
	>>> Rel. ord. against contract 4400010630 Item 10						
47	320605 IV&V Management Plan Payment #27	1.000	Each	08/31/2018	18,020.00	1	18,020.00
	>>> Rel. ord. against contract 4400010630 Item 10						
48	320605 IV&V Management Plan Payment #28	1.000	Each	09/30/2018	18,020.00	1	18,020.00
	>>> Rel. ord. against contract 4400010630 Item 10						

Information:

Total Amount:
SEE LAST PAGE FOR TOTAL OF ALL ITEMS

Currency: USD

FULLY EXECUTED - REPRINT

Purchase Order No: 4300450013

Original PO Effective Date: **03/10/2015**

PO Issue Date: **03/10/2015**

Valid From: 03/01/2015 To 03/31/2018

Supplier Name:

CSG GOVERNMENT SOLUTIONS INC

Item	Material/Service Desc	Qty	UOM	Delivery Date	Net Price	Price Unit	Total
49	320605 IV&V Management Plan Payment #29 >>> Rel. ord. against contract 4400010630 Item 10	1.000	Each	10/31/2018	18,020.00	1	18,020.00
50	320605 IV&V Management Plan Payment #30 >>> Rel. ord. against contract 4400010630 Item 10	1.000	Each	11/30/2018	18,020.00	1	18,020.00
51	320605 IV&V Management Plan Payment #31 >>> Rel. ord. against contract 4400010630 Item 10	1.000	Each	12/31/2018	18,020.00	1	18,020.00
52	320605 Final Recommendation Report >>> Rel. ord. against contract 4400010630 Item 10	1.000	Each	12/31/2018	59,840.00	1	59,840.00
53	320605 IV&V Management Plan Payment #32 >>> Rel. ord. against contract 4400010630 Item 10	1.000	Each	01/31/2019	18,020.00	1	18,020.00

General Requirements for all Items:

Information:

Total Amount:

SEE LAST PAGE FOR TOTAL OF ALL ITEMS

Currency: USD

FULLY EXECUTED - REPRINT

Purchase Order No: 4300450013

Original PO Effective Date: **03/10/2015**

PO Issue Date: **03/10/2015**

Valid From: 03/01/2015 To 03/31/2018

Supplier Name:

CSG GOVERNMENT SOLUTIONS INC

Header Text

This Purchase Order references ITQ contract 4400010630 (referencing those terms and Conditions) and RFQ 6100029898 for The Department of Labor and Industry Unemployment Compensation Benefit and IV&V Services.

Lines 19-53 are optional at the discretion of the Commonwealth.

SERVICE PERIOD: 3/11/2015-2/10//2019

All delivery dates are estimates.

The successful Contractor will be issued a purchase order with reference to IT ITQ Contract #4400004480. The term of the purchase order will commence on the Effective Date and will end in three (3) years. The Commonwealth, at its sole option, may renew the purchase order for up to an additional two (2) years. The Commonwealth may exercise the renewal(s) in single or multiple year increments, at any time during the purchase order. No work may begin or be reimbursed prior to issuance of the purchase order. The selected Contractor will be paid after submitting invoices, provided it is in accordance with the work plan and approved by the Commonwealth Project Manager. Final payment will not be made until all Project work has been successfully completed.

No further information for this PO.

Information:

Total Amount:

5,740,404.00

Currency: USD

MASTER INFORMATION TECHNOLOGY SERVICES
INVITATION TO QUALIFY CONTRACT

RECOMMENDATION FOR BEST VALUE SELECTION

Date: November 18, 2014

To: Tony Encinias
Chief Information Officer
Office for Information Technology

From: Christina M. Geegee-Dugan
Issuing Officer

RE: Evaluation of Proposals Submitted in Response to
UC Benefits Modernization Project Management and IV&V Services
RFQ # 6100029898

PART I.

The Issuing Office designated to conduct the UC Benefits Modernization Project Management and IV&V Services RFQ #6100029898 best value selection for this project has completed its evaluation in accordance with Commonwealth policies and procedures. As further described below, **CSG Government Solutions** is recommended as the best value contractor for this project. This memorandum documents that all necessary steps were taken in conducting the best value selection in accordance with the provisions of the Information Technology Invitation to Qualify (IT-ITQ) Contract Solicitation Requirements and Evaluation Process.

PART II.

A. METHOD OF SELECTING BEST VALUE CONTRACTOR:

1. The Department of Labor and Industry L&I is seeking to acquire project management services which include project planning and management, pre-solicitation activities, solicitation, and procurement activities for the replacement and modernization of the existing legacy IT systems for the Unemployment Compensation (UC) Benefits Program.

2. Consistent with the Commonwealth's strategic procurement objectives and the Governor's policies to evaluate contractor technical capabilities, small diverse business participation, along with cost in making best value selections from multiple award contracts, the Office of Administration (OA) issued a Request for Quotations (RFQ) to make a best value selection from the IT-ITQ Contract as authorized by Section 517(f) of the Commonwealth Procurement Code.

B. PUBLIC NOTICE: Public notice of the RFQ was posted on the DGS website on **July 31, 2014** and sent via an e-alert email to all of the Contractors qualified in the applicable service categories. Contractors were afforded approximately **six (6) weeks** to respond to the RFQ.

C. EVALUATION COMMITTEE: An evaluation committee was established consisting of agency representatives from the Office of Administration and the Department of Labor & Industry. Representatives from the Bureau Small Business Opportunities (BSBO) and Comptroller's Office were invited and participated in the committee.

D. PRE-PROPOSAL CONFERENCE: A pre-proposal conference was conducted for this procurement. A conference was held on August 14, 2014 was optional for all contractors to attend.

E. ADDENDA TO THE RFQ: Potential contractors were given the opportunity in accordance with Part I-6 of the RFQ to submit questions concerning the RFQ to the Issuing Office. The official responses to the questions were incorporated into the RFQ by addenda per Part I-7 of the RFQ.

PART III.

A. EVALUATION CRITERIA: The Issuing Office established the relative importance of the major evaluation criteria prior to opening the proposals, consisting of technical **50%**, cost **30%** and small diverse business participation **20%**.

B. PROPOSAL OPENING:

2. **Five (5)** proposals were received in total on or before the due date of **September 11, 2014.** No companies responded by stating that they would not be submitting proposals. No proposals were submitted late and disqualified as untimely.

3. The Issuing Office opened the proposals in a manner to avoid disclosure of their contents to competing contractors and reviewed them for responsiveness. **One (1)** proposal was disqualified as non-responsive. **Four (4)** technical submittals were then distributed to the evaluation committee, and the small diverse business (SDB) participation submittals were forwarded to the Bureau of Small Business Opportunities (BSBO) for its review and scoring. The Issuing Office retained the cost submittals until the evaluation committee completed its technical evaluation.

C. CLARIFICATIONS: In accordance with Part I-21 of the RFQ, written clarifications were requested from the Contractors based on the initial technical evaluation to assure full understanding of the proposals and their responsiveness to the RFQ requirements.

D. RESULTS OF EVALUATION:

1. TECHNICAL SUBMITTAL EVALUATION: The evaluation committee reported the results of its technical evaluation to the Issuing Office.

2. 70% TECHNICAL THRESHOLD: As indicated in the Overall Scoring, **two (2)** Contractors' technical submittals **KPMG LLP and Mathtech, Inc.** failed to score at least 70% of the available technical points and were not considered for selection for Best and Final Offers or final selection as the best value contractor.

3. SDB SUBMITTAL EVALUATION: BSBO opened and scored the SDB participation submittals of those Contractors which passed the 70% technical threshold and reported the scores to the Issuing Office.

4. COST SUBMITTAL EVALUATION: The Issuing Office opened and scored the cost submittals of those Contractors which passed the 70% technical threshold.

5. DOMESTIC WORKFORCE UTILIZATION EVALUATION: The Issuing Office scored commitments to Domestic Workforce Utilization made by those Contractors which passed the 70% technical threshold.

6. COMBINED SCORES: The Issuing Office combined the technical scores, cost scores, SDB scores, and Domestic Workforce Utilization scores of those Contractors which passed the 70% technical threshold.

7. BEST AND FINAL OFFERS PHASE: **Two (2)** Contractors' proposals **CSG Government Solutions and Public Consulting Group** achieved overall combined scores placing them within the competitive range of proposals determined to be reasonably susceptible of being selected to provide the best value to the Commonwealth. As authorized by Part I-22 of the RFQ, these Contractors were selected to proceed to a "Best and Final Offers" phase of the evaluation process. All Contractors were accorded fair and equal treatment during discussions and revisions of their proposals. There was no disclosure of any information derived from proposals submitted by competing Contractors.

8. OVERALL SCORING: The overall scoring for this RFQ concluded as follows:

Contractor	***Technical Score***	***Cost Score***	***SDB Score***	***DW Bonus***	***Overall Score***
CSG Government Solutions	500.00	300	82.64	30	912.64
Public Consulting Group	458.83	239.91	100	30	828.74
Suppliers **NOT** meeting 70% Technical Threshold					
KPMG LLP	341.63	n/a	n/a	n/a	n/a
Mathtech, Inc.	324.13	n/a	n/a	n/a	n/a

9. HIGHEST OVERALL SCORES: After combining the final technical scores, final cost scores, final Small Diverse Business scores, and final Domestic Workforce Utilization scores in accordance with the relative weights assigned to these areas and fixed prior to the opening of the proposals, the proposal submitted by **CSG Government Solutions** received the highest overall score.

10. SMALL DIVERSE BUSINESS COMMITMENTS: As part of its proposal, **CSG Government Solutions** has committed to subcontracting with **two (2)** small diverse business(s) for products and project services over the entire project timeframe. **CSG Government Solutions** is committing **16.85% to Logic House Ltd.** and **3.81% to Intueor Consulting Inc.** of the total value of its offerings.

11. DOMESTIC WORKFORCE: As part of its proposal, **CSG Government Solutions** has certified that **100%** of the work for this project will be performed in the United States or member WTO countries.

12. CONTRACTOR RESPONSIBILITY: **CSG Government Solutions** and subcontractors required to be disclosed or approved by the Commonwealth have been verified as responsible contractors in accordance with management directives, the Procurement Handbook and the Procurement Code, as applicable.

PART IV.

RECOMMENDATION: As the Issuing Officer, I recommend that **CSG Government Solutions** be selected as offering the best value to the Commonwealth. This recommended selection is based upon the results of the evaluation and review of the proposals as summarized above. Based on the cost submittal of this Contractor, the value of the purchase order is estimated to be **$5,740,404.00**. **The term of the purchase order will be three (3) years with two (2) additional renewals.**

PART V.

CONTRACTING OFFICER AUTHORIZATION:

☒ I approve the recommendation.

☐ I disapprove the recommendation.

[redacted] 19 Nov 14

Tony Encinias Date
Chief Information Officer
Office for Information Technology

COMMONWEALTH OF PENNSYLVANIA
DEPARTMENT OF LABOR AND INDUSTRY

UC BENEFITS MODERNIZATION PROJECT MANAGEMENT AND IV&V SERVICES

RFQ #6100029898

NEGOTIATIED TECHNICAL PROPOSAL
JANUARY 25, 2015

180 N. Stetson
Suite 3200
Chicago, IL 60601

Phone: (312) 444-2760
Fax: (312) 938-2191
www.csgdelivers.com

APPENDIX A - PROPOSAL COVER SHEET

COMMONWEALTH OF PENNSYLVANIA
OFFICE OF INFORMATION TECHNOLOGY
RFQ# 6100029898

Enclosed in three separately sealed submittals is the proposal of the Contractor identified below for the above-referenced RFQ:

Contractor Information	
Contractor Name	**CSG Government Solutions**
Contractor Mailing Address	**180 N. Stetson Ave., Suite 3200**
Contractor Website	www.csgdelivers.com
Contractor Contact Person	**Jim Mahony**
Contact Person's Phone Number	**(312) 423-2105**
Contact Person's Facsimile Number	**(312) 938-2191**
Contact Person's Email Address	jmahony@csgdelivers.com
Contractor PA Supplier ID Number	[redacted]
Contractor Federal ID Number	[redacted]

	Submittals Enclosed and Separately Sealed
☒	Technical Submittal
☒	Small Diverse Business Participation Submittal
☒	Cost Submittal

Signature	
Signature of an official authorized t[redacted]ions contained in the Contractor's proposal:	[redacted]
Printed Name	Tim Lenning
Title	Executive Vice President

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1. STATEMENT OF THE PROBLEM

CSG is excited about the opportunity to propose our Project Management Office services in support of the Department of Labor and Industry (L&I) and your efforts to modernize your Unemployment Compensation (UC) Benefits Program. We recognize the challenges in administering the UC program and are dedicated to helping L&I to fulfill its mission; "to deliver UC Benefits to Pennsylvania's unemployed workers." Further we understand L&I's commitment to promote economic development and an improved business climate through a variety of initiatives and programs to help Pennsylvania's workforce remain world-class and globally competitive.

CSG has a deep understanding of the challenges and opportunities in modernizing UC programs. We are uniquely qualified to deliver the Services L&I needs to achieve its objectives:

- CSG is the national leader in helping UC programs develop and implement realistic modernization strategies
- CSG has provided numerous State Agencies with project management office and IV&V services overseeing successful UC and other large-scale, complex system modernization projects
- CSG understands the need for continuity in project resources and has identified a foundational, consistent "Core Team" to oversee the UC modernization effort

Understanding Project Goals and Objectives

The Department of Labor and Industry is seeking to acquire project management and optional IV&V services to oversee the replacement and modernization of the existing legacy IT systems for the Unemployment Compensation Benefits Program (benefits and benefit appeals).

We understand L&I's primary objectives for the UC Benefits Modernization effort includes:

- Obtaining **project management services** for the replacement and modernization of the existing legacy IT system for the UC Benefits Program responsible for:
  - ✓ Providing highly qualified staff with project management, technical, UC and planning experience
  - ✓ Developing the overall strategy and a proven plan to achieve the project goals and objectives
  - ✓ Implementing best practices and proactive services to effectively manage, track and control project activities
  - ✓ Gathering and documenting UC Benefits Replacement System requirements
  - ✓ Conducting and documenting a technical assessment that identifies viable UC solutions and implementation approaches and ensures a competitive procurement
  - ✓ Finalizing a technical roadmap that identifies the necessary steps and costs to implement a new UC benefits solution based on L&I's vision and goals
  - ✓ Assuring application of industry best practices and Commonwealth Technology Standards
  - ✓ Obtaining Stakeholder agreement and providing continuous communication to all internal and external stakeholders

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- ✓ Developing a solicitation that leads to an efficient selection of implementation vendor with a clear, well-defined scope of work and enforceable contract
- ✓ Providing ongoing PMO oversight that leads to an on-time, on-budget implementation of a new UC Benefits Replacement System

- At the sole discretion of L&I, provide **Optional Implementation Oversight** services that deliver independent oversight and quality assurance of the UC Benefits Replacement System implementation responsible for:
  - ✓ Providing qualified IV&V staff with quality assurance and UC experience
  - ✓ Ensuring an independent perspective on the implementation of the UC Benefits Replacement System and early identification of project risks and issues
  - ✓ Validating the solution's compliance with L&I's requirements through quality assessments and independent testing
  - ✓ Performing ongoing IV&V monthly assessments through system implementation and warranty to ensure the solution is in compliance with defined processes and metrics that meet the Agency's expectations and all contractual requirements.

Additionally, to ensure we have a comprehensive understanding of the current UC benefits program and legacy system, CSG carefully reviewed the Software Engineering Institute (SEI)/Carnegie Mellon report published in July of 2013. The report identified three key themes for L&I to address as it moves forward with system modernization:

1. Quality of the System
2. Unemployment Compensation Modernization System (UCMS) Acquisition Strategy
3. Governance and Program Management

The RFQ requirements for PMO Services clearly address these findings, and **the CSG Team is well-positioned to deliver the PMO and IV&V services** that will address each of these findings. To expand on the key themes and findings outlined above, the CSG Team has identified the following **key success factors** for this critical project:

- Clearly defined project objectives and goals
- Strong and independent PMO with highly developed and controlled processes
- Well-defined acquisition strategy
- Clear requirements that are well-documented
- Thorough and complete evaluation criteria for the DDI vendor
- Ability to effectively engage and inform L&I leadership
- Ability to provide highly skilled Unemployment Compensation and technical experts
- Focus on maintaining the continuity of resources and subject matter expertise from the beginning to the end of the engagement

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CSG provides the strong leadership and project team to ensure the successful delivery of the UC Benefit Modernization Project. We are uniquely qualified to achieve L&I's objectives and to work collaboratively with L&I, including the business and technical areas which support the payment of UC benefits to eligible UC claimants. CSG has the UC expertise and experience needed to draw on the knowledge of the following business units and ensure effective flow of communication throughout L&I and all affiliated stakeholders:

- Office of UC Benefits-Policy (OUCB-Policy): Responsible for payments of UC Benefits for the Commonwealth.
- Office of UC Service Centers (UCSC): Responsible for processing, adjudicating and paying UC claims and providing linkages to reemployment services.
- UC Board of Review (UCBR): Responsible for adjudicating UC eligibility appeals.
- Office of Information Technology (OIT): Act as the Technical Lead for the UC Benefit Modernization project.

CSG's **Project Management Methodology and PMO experience** provide the approach, structure, governance, communications, reporting and best practices to obtain the participation needed to identify the requirements of all stakeholders and maintain their active participation to achieve the objectives of the UC Benefit Modernization project. We have developed an approach and staffing plan that ensure the continuity of our resources and maintain the knowledge the team gains through the requirements development, vendor selection and implementation processes.

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2. MANAGEMENT SUMMARY

CSG understands L&I's objectives and recognizes the challenges involved in delivering this critical project. We have assembled a proven team of nationally known UC experts and committed partners providing the business, technology, and systems integration expertise and experience to successfully deliver this project.

Our expertise as the national leader in UC program modernization, our knowledge of the current UC landscape, our proven project management office approach, and our proposed team, represent the best combination of support for L&I through the multiple aspects of this critical project.

The following Management Summary provides an "at a glance" overview of the value we provide to L&I.

CSG is uniquely qualified to provide L&I with the Unemployment Compensation, project management, strategy, procurement management, and IV&V experience required to deliver results for the UC Benefits Modernization project.

- We provide UC and PMO expertise and the proven ability to *staff the right people at the right time*.
- We hit the ground running by bringing in-depth knowledge of UC requirements and state environments "To-Be"nefit L&I in expediting project planning activities.
- CSG's PMO experience with large scale, complex government IT projects reduces risk and assures a successful UC modernization implementation.
- L&I benefits from our reputation for quality delivery and skilled project teams.

CSG Company Background

CSG Government Solutions is a national leader in government operations consulting focused on delivering high value solutions for our clients. Founded in 1997, CSG provides strategy and planning and project assurance services to help states modernize critical program enterprises. We serve as your trusted advisor for planning, managing, and ensuring the quality of these challenging efforts.

Our national Unemployment Compensation Practice delivers extensive UC experience to L&I that we have gained from successfully completing UI projects in 22 states across the country. We have guided state UC agencies "To-Be" more efficient in their processes, to ensure compliance with federal standards and to deliver quality services to claimants and employers. Our team has proven experience in assisting states through program modernization efforts that deliver tangible return on investment through successful system modernization projects, streamlined business processes and effective operating procedures.

CSG Experience: Specialists in UC, PMO, and Procurement Services

Successfully delivering the project planning and management, pre-solicitation, solicitation and procurement and optional implementation oversight services for the L&I UC Benefits Modernization Project requires a strong blend of UC program modernization, strategy, planning and requirements, procurement support, project management oversight, and quality assurance skills and expertise. CSG has extensive experience in each of these critical areas:

- CSG is the national leader in UC Program Modernization. We bring experience **with multiple UC System Modernization** projects, including projects for the States of

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Michigan, Illinois, the VMW Consortium (Vermont, Maryland, and West Virginia), the Southeast Consortium (Tennessee, North Carolina, South Carolina, and Georgia) and the WyCAN Consortium (Colorado, Wyoming, Arizona, and North Dakota). CSG has also completed process improvement projects for North Dakota and Kentucky. In addition, CSG completed a project with the National Association of State Workforce Agencies (NASWA) to work with states across the country to assess the Data Validation (DV) Program, develop plans to address areas warranting improvement, and provide training and technical assistance to guide and support the states. Finally, the CSG Unemployment Insurance (UI) Center of Excellence artifacts and tools are specifically designed to provide best practices, drive productivity, and increase quality on UC program modernization projects.

- CSG provides a **proven UC benefits modernization methodology** that is calculated, thorough, and controlled. We work with L&I to harmonize our methodology with a strategy specific to your modernization project. We conduct a visioning session to establish goals, objectives, and priorities for the project. Based on L&I goals and objectives we conduct industry research and utilize our industry knowledge to identify options for L&I. We perform a thorough cost benefit analysis of those options to identify the options that best aligns with the requirements gathered and the goals and objectives of L&I.
- CSG provides **baseline requirements** developed based on best practices and our experiences in the UC program. These requirements enable the CSG Team to "hit the ground running" and develop high quality requirements efficiently. This allows the team to complete the requirements gathering sessions in two months minimizing the time demands on L&I staff.
- CSG has led requirements development and validation activities as part of multiple system modernization planning and oversight projects. **We have experience utilizing industry standard requirements tools,** including TopTeam, Rational DOORS Next Generation (Rational Requirements Composer), Rational RequisitePro, JAMA, Caliber, Clarity, and HP Quality Center.
- CSG understands that the goal of any requirements tool is to **ensure tracing of the requirements throughout the SDLC lifecycle.** To effectively manage the requirements and the tool, the CSG PMO creates a detailed Requirements Plan that describes how the requirements tool is utilized through the design, development, integration/test, and implementation phases. CSG understands L&I utilizes TopTeam for requirements gathering and validation. Our approach and processes incorporate TopTeam to maximize the efficiencies of the L&I tools and standards.
- CSG's approach and tools enable our team to **complete the Pre-Solicitation and Solicitation phases in approximately 14 months**. Our approach, team, tools, and schedule will allow L&I staff to continue working and support requirements development effectively.

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- As an independent and objective advisor, CSG has provided **Procurement Support** to agencies for multiple system modernization efforts. We have the experience and capacity to support and advise L&I with the procurement of the UC Benefits Replacement System replacement vendor. We have experience coordinating multiple stakeholders and working with State procurement rules; developing Requests for Information and Requests for Proposals; advising on evaluation criteria; supporting evaluating and selection processes, vendor proposal response evaluations, oral presentations and site visits; and assisting departments with contract development, negotiations, and award processes.
- CSG has developed and implemented clear, effective **Project Governance** structures and understands what L&I must do "To-Be" successful. We establish clearly defined project roles and responsibilities including the PMO, L&I, and the selected UC Benefits replacement system vendor. We utilize a RACI chart to define the roles and responsibilities for project activities.
- CSG has expertise **in Project Management and Oversight** that comes from years of experience successfully managing, coordinating, and delivering business process re-design and systems implementation projects in complex government environments. We have a longstanding history of quality service delivery for a multitude of clients, including multi-year project management office contracts representing significant levels of effort. We have provided PMO services with waterfall and agile system implementations methodologies. We have also repeatedly demonstrated our ability to staff PMOs with the right people at the right time.
- CSG has extensive experience in the area of **Quality Assurance** for state government legacy projects. The CSG PMO bases our approach to this activity on our foundational CSG REALize℠ methodology. CSG REALize℠ incorporates a methodology for providing quality control oversight services on projects, using the skills we have developed on our implementation projects. This allows us to leverage existing best practices, tools, and templates to provide Quality Assurance support. **We work closely with L&I Project Leadership** to determine exactly how to meet the needs of L&I for ensuring quality deliverables.

CSG is also committed to providing optional Independent Verification and Validation services that contribute to the success or our client's projects. Our investment in developing standards-based methodologies provides the foundation for a set of customized tools to meet your needs to verify, validate, and mitigate risk. Our customizable tools jumpstart our IV&V efforts and our risk management approach facilitates our partnership with you to find actionable risk management solutions. While many vendors offer "methodologies", we deliver valuable tools coupled with first-hand UC and IV&V knowledge.

CSG PMO Staffing Strategy and Capabilities

CSG understands that the foundation for success in every project is the people involved in the project, and we have carefully considered your requirements to determine which of our

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resources best suits your goals. Our staffing strategy for this engagement is rooted in providing consultants with the highest quality of service and expertise. We are confident our CSG team has what it takes – experience, expertise, and a disciplined approach – to deliver excellent results for the L&I UC Benefits Modernization project.

For the L&I UC Benefits Modernization project, CSG proposes a proven PMO Project Manager, Core PMO Team and Project Advisors with significant project management, consortium, and UC program experience to work with you on this effort. Our team quickly focuses on the unique aspects and needs of the project and hits the ground running. We also bring significant staffing depth and proven staffing processes. *Section 5, Personnel* describes our Staffing Management Plan in detail, and the following section provides a high-level overview of the CSG PMO leadership for the L&I UC Benefits Modernization project.

The CSG Core PMO Team

The CSG Team is comprised of a **"Core PMO team"** who are **engaged full time throughout the entire modernization effort** to provide and maintain the project management, UC and technical expertise required throughout the engagement. The "Core PMO team" is comprised of a project manager, project scheduler, business architect/policy writer and a senior technical architect. The Core PMO team is supplemented by a highly experience Executive Leadership ad Advisory Support Team.

Saralinda Bauer– Project Manager: Saralinda is a Project Management Institute-certified project management professional (PMP), who has been with CSG for 2 years. She has worked in the unemployment insurance and workforce development industry for more than 14 years. She has extensive experience as a Project Manager and Business Analyst, focusing on the support of unemployment insurance (UI) initiatives, Medicaid Eligibility, and brings a proven ability to analyze complex systems and understand user needs. Saralinda has more than 16 years of experience in public sector programs and more than 11 years facilitating large- and small-scale system implementations. She has more than six years of experience in project management roles. Most recently, Saralinda served as the Project Manager for the Missouri Eligibility Determination and Enrollment System (MEDES).

Varun Anand – Project Scheduler: Varun is a project scheduler with a solid balance of experience as a project leader, subject matter expert, and analyst. He is a self-starting manager in all aspects of the project process, including requirements identification, resource allocation, workflow planning, and cost control. Varun applies his expertise to plan and manage multimillion-dollar projects aligning business goals with technology solutions. Varun is an excellent communicator with the technical, business, and financial experience needed to communicate effectively with the appropriate project stakeholders.

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Fairy Curtis – Business Architect/Policy Writer: Fairy Curtis is a Senior Consultant with CSG and has worked in the Unemployment Insurance program since 1999. She functions as a Business Analyst and Unemployment Insurance Subject Matter Expert. She brings five years of experience working for the GDOL Unemployment Insurance Policy and Procedures Unit, where she facilitated the design and development of UI programs and provided oversight and technical expertise for state agency initiatives, including the Southeastern Consortium Unemployment Benefits Integration Project. Fairy recently served as IV&V Business Analyst for the WyCAN (Wyoming, Colorado, Arizona, New Mexico) Unemployment Insurance Consortium project to implement a shared UI system. In this capacity, Fairy created Deliverable Expectation Documents, facilitated interviews of project staff and observed project processes, including gap sessions an dreviews of project artifacts and documentation on requirements and use cases, and provided subject matter expertise regarding UI and project processes in support of Foundational and Focus Area Assessments. Additionally, Fairy is an effective communicator and a proven project leader with exemplary skills in management, customer service, collaboration, accounting and technical support which she brings to every engagement.

Korol Taylor – Senior Technical Architect: Korol is a lead system architect, technical analyst, and team leader with 15 years of IT experience. He has designed and implemented web applications in .Net and J2EE for over ten years. He is certified in UML and object oriented design principles. He is experienced in all phases of the system development life cycle including scope development, functional requirements, detail design, development, system testing, acceptance testing, performance testing, and deployment. Korol's recent experience includes serving as Technical Architect for three multi-state consortium UI initiatives: the Wyoming, Colorado, Arizona, North Dakota, (WyCAN) Consortium Unemployment Insurance Implementation IV&V and Quality Assurance Services Project, the Vermont-Maryland-West Virginia (VMW) Consortium UI Requirements Development Project and the Southeast Consortium UI Benefits Initiative (SCUBI). For the VMW and SCUBI engagements, Korol led technical teams in the development of RFP-ready general and technical requirements and technical architecture for the common UI system; including cost benefit analysis, security strategy, and recommendations for management and governance structure for the shared systems.

Executive Leadership and Project Advisory Team Support

Jim Mahony – Client Executive/Project Advisor: Jim serves as the Director of CSG's national Unemployment Insurance/Compensation Practice. He has extensive knowledge of UC systems, having served as client executive and project advisor on the, the Michigan UIA Unemployment Insurance Systems Modernization project, the Kentucky OET UI Business Process Analysis project, and the VMW Requirements Definition, Southeast Consortium UI Benefits Initiative project and the WyCAN Consortium Unemployment Insurance Implementation IV&V and Quality Assurance Services Project. Jim provides QA on project deliverables, facilitates recommendations development, and imparts best practices from UI

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projects around the country. **As CSG's UI Practice Director, Jim has served as a client advisor on all CSG UC projects including the** Michigan Unemployment Insurance Agency UI Systems Modernization from the inception of the project through implementation.

Richard Staten – Project Advisor: Richard Staten serves as the CSG Project Management Office Center of Excellence Lead. He has an established record of success built on high-tech business and operations experience in contract delivery of professional services. Richard brings over 19 years of experience in both the public and private sectors, having held positions as Operations Director and IT Director, and brings a mixed set of real-life functional skills and technical proficiencies. In management, he has guided complex, large-scale efforts in operations, programs, portfolios, and applications management, and regularly communicates with executives and C-Level management. He served as Project Manager for the Michigan Unemployment Insurance System Modernization Project is currently the leader of the PMO for all State of Michigan Unemployment Insurance Agency and related projects.

Tim Saar – Project Advisor: Tim is Vice President of Technology at CSG and serves as IV&V/QA Center of Excellence Lead, with over 30 years of experience in information systems. He has extensive experience in complex evaluations and assessments of technical software and hardware systems. During his 15 years with CSG, Tim has directly contributed to the success of over 35 information systems projects. Tim has extensive experience in complex evaluations and assessments of technical software and hardware systems, and plays key decision-making roles for important initiatives. He has provided technology assessments for UC projects in states of North Dakota, Illinois, Michigan, Kentucky, and the VMW, SCUBI and WyCAN Consortiums.

Vijay Pandey – Technical Advisor: Vijay is the Director of Technology Solutions with Intueor Consulting, Inc. and brings over 16 years of experience in the information technology field with over 5 years of unemployment compensation experience holding numerous roles, including project lead, project manager, database designer, developer, analyst, and technical architect. Vijay is a PMI-certified project management professional (PMP) and holds numerous technology certifications, including Oracle Certified Professional (OCP) for 9i/8i Database Architecture tracks and The Open Group Architecture Framework (TOGAF) 9.1.

Strategic Teaming Partners

CSG has partnered with strong companies who add to the CSG Team's capability to "deliver the right resources at the right time." Our partners provide a mix of project management, technical and added UC expertise to provide L&I with a well-rounded team capable of providing the robust oversight required on the UC Benefits modernization project. Both of our strategic partners are Small Diverse Business (SDB) certified in Pennsylvania and further demonstrate CSG's commitment to the Commonwealth.

Logic House Ltd.

Logic House Ltd. has a strong consulting practice that focuses on modernization projects. Over the past 24 years Logic House has

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participated in several large scale modernization projects for many states across multiple state agencies. Logic House Ltd. was incorporated in the Commonwealth of Pennsylvania in 1990. It is a certified Small Diverse Business (SDB)small business which provides a comprehensive range of management and technical services for the development of information systems. Logic House has earned a reputation for providing quality professional services in a timely and cost effective manner.

Intueor Consulting, Inc. is a certified SDB consulting firm focused on strategy, operations and business technology that specializes in enabling Public Sector agencies maximize business value to their constituents, through sustainable business transformation. Intueor consultants have played a very influential role in several UC Modernization programs, offering business and technology services including Project Management, Business Analysis, Technology Architecture Definition, Solution Development, and Data Conversion.

Summary of Services "To-Be" Provided

The following table outlines the Project Tasks as outlined in the RFP and the Key Services CSG provides:

Task	Services
Project Planning and Management	➢ Develop and manage project schedule/WBS and timeline ➢ Produce Detailed Scope Statement and Project Charter ➢ Facilitate communication buy in among stakeholders ➢ Establish meeting schedules and agendas; facilitate status meetings ➢ Develop project management plan documents ➢ Facilitate visioning session with senior management to determine goals, business drivers, objectives and expectations for new system ➢ Produce weekly status reports ➢ Monitor performance to ensure that all deliverables remain on schedule and quality is maintained
Pre- Solicitation	➢ Perform "As-Is" UC Systems Assessment ➢ Perform a technical assessment of up to three UI solutions to identify the best options of a UI Benefits System project ➢ Produce technical road map that identifies UI Benefits System phases and documents major deliverables within each phase ➢ Conduct business case and cost benefit analysis including return on investment for inclusion in the technical road map ➢ Develop detailed business requirements and traceability matrix to ensure the at sufficient level of detail and clarity to allow vendors to respond to the Development and Implementation RFP ➢ Identify quality standards that incorporate State and project standards

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Task	Services
Solicitation and Procurement	➢ Produce the Statement of Work (SOW) for inclusion in the solicitation ➢ Support integration of the SOW and appendices into the procurement package ➢ Provide Subject Matter Expertise throughout the solicitation and procurement process ➢ Assist the Commonwealth with contract negotiations including updating the solicitation and negotiation documents
Reports and Project Controls	➢ Conduct onsite meetings as needed to perform the tasks described in the RFQ ➢ Maintain the project management plan as described in the RFQ ➢ Develop and provide a weekly progress report and brief stakeholders as requested ➢ Provide a report identifying problem areas of the project as required ➢ Provide ad hoc reports
Optional Implementation Oversight (If Enacted)	➢ Develop, manage and execute an IV&V management plan that is integrated into the full project life-cycle ➢ Develop performance monitoring strategy and metrics for the Development and Implementation project ➢ Provide ongoing assessment reports for the management and technical aspects of the project ➢ Develop test plans and conduct validation testing ➢ Monitor System performance to ensure Service Level Agreements are met ➢ Participate in System testing as needed ➢ Develop and maintain a structure defect tracking log and meeting record ➢ Produce a final recommendations report at the end of the Implementation and warranty period
Optional UC Tax Functionality (If Enacted)	➢ Provide PMO and/or IV&V services for the UC Tax functionality if the Commonwealth enacts the option to expand the scope to include these services

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Proven Project Approach

The CSG Team addresses the project needs through our proven Project Management and Technology Planning methodologies. For the Pre-Solicitation phase and Solicitation and Procurement phases of the project we are proposing a plan which enables L&I to successfully complete the Pre-RFP Award phase in approximately fourteen (14) months. Our plan strikes a balance of performing thorough analysis and planning up front with delivering the RFP in an efficient and expedient manner. Our approach recognizes the critical need of delivering a high quality RFP to the vendor community, which sets the stage for a successful implementation effort. For the purpose of developing the schedule and timeline for the project we have planned for a Design, Development and Implementation (DDI) period of eighteen (18) months for the UC Benefits replacement system. Our estimate is based on our experience on similar UC projects, industry knowledge and potential implementation approaches. In addition we have accounted for the optional implementation oversight services. IV&V spans the 18 months of the DDI period and then continues for a period of 14 months post-implementation of the UC Benefits Replacement System. The timeline on the following page is a summary of the activities CSG performs for the UC Benefits Modernization Project Management and IV&V Services project.

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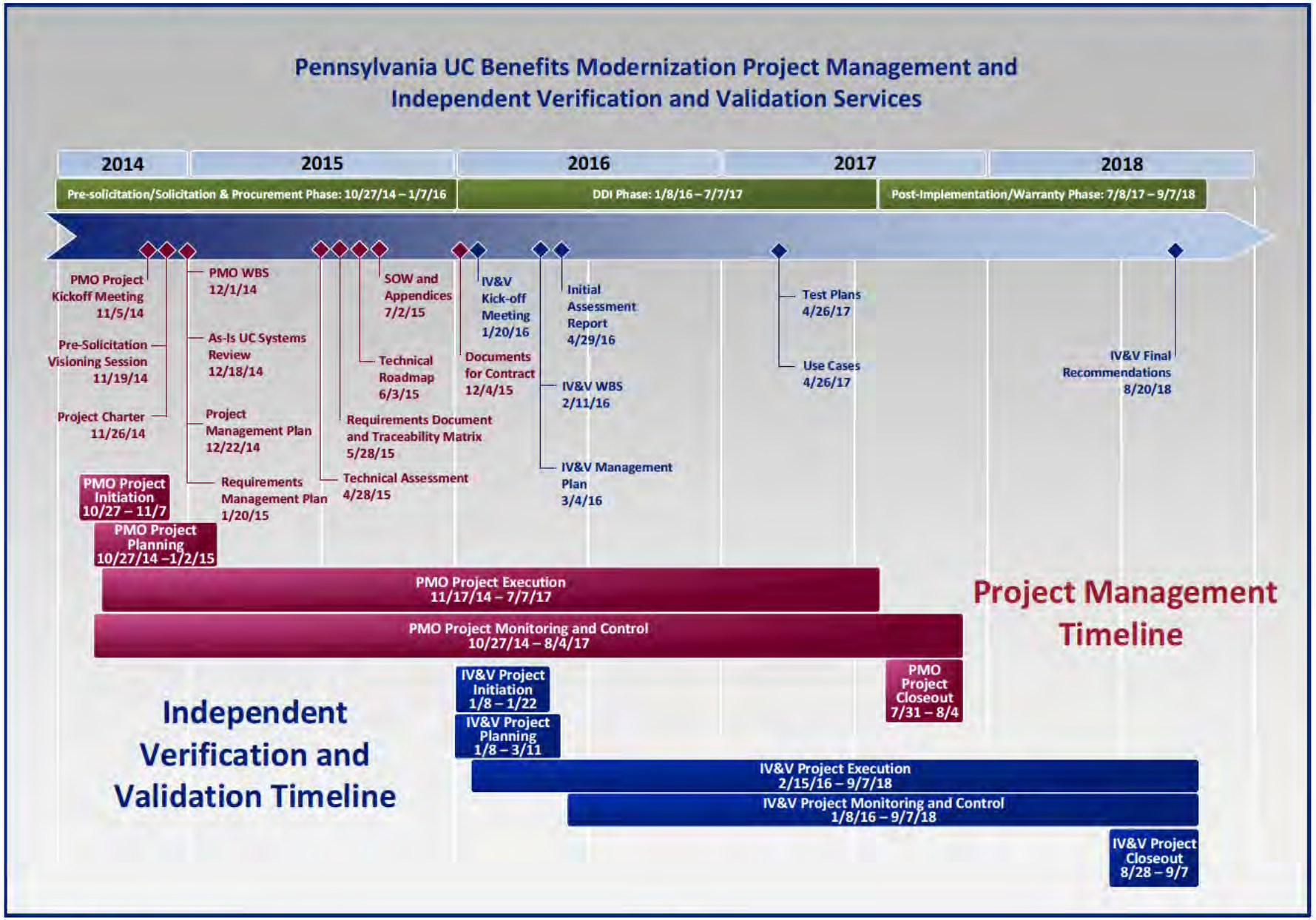

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The CSG Difference

The following differentiators set the CSG Team apart from our competitors:

- **Experienced Project Team Members:** It is clear from the RFQ that L&I has spent considerable time and effort determining the types of experienced resources needed for this project. We understand and fully support L&I's emphasis that the *proposed team members*, not just the company in general, must have the project management and methodology experience, UC experience, technical experience, systems and business assessment experience and systems integration experience. We are confident that when assessing the CSG Team, our proposed team members' combination of skills, experience, and practical application of our methodologies is unparalleled.
- **Partnering Approach:** We view L&I and the CSG Team as a unified team. We offer our services as a collaborative partner focused on providing strong project leadership and the UC, planning, and PMO expertise required to succeed.
- **Ability to Staff the PMO Team with the Right People at the Right Time:** CSG has the experience needed in implementing and operating PMOs on large state agency system implementations. The ability to deliver the right, qualified staff at the right time is key to successfully managing a PMO. The L&I UC Benefits Modernization project requires the PMO vendor to provide project management, technical, and functional staff when needed. Our core team and experiences with similar engagements demonstrate our familiarity, commitment and ability to provide the needed resources for L&I.
- **National, Independent UI Modernization and PMO Experience:** CSG is the national leader in delivering successful, independent UI modernization planning and project management office projects that produce results on time and on budget. We have extensive UC systems analysis, design, and implementation experience for 22 state governments. CSG does not offer Framework or COTS solutions or partner with DDI Vendors. Therefore, the Commonwealth is assured it has a partner who serves as your "Trusted Advisor" and the guidance and advisory services we provide are independent, unbiased and based on L&I's needs and vision.
- **Excellent Reputation in the Market:** The firms comprising the CSG Team have reputations for experienced, high quality team members and an intense focus on client satisfaction and delivery. We are confident our clients will tell you they like to work with us and that we focus on delivering results.
- **The CSG Centers of Excellence and CSG REALize℠:** The CSG Unemployment Insurance and PMO Centers of Excellence and our CSG REALize℠ collection of program modernization methods, knowledge, and tools enable our team to leverage our specific UC and PMO tools, templates, and knowledge to "jump-start" your project.

Our **experience is our strength.** CSG has a reputation for bringing experienced, high-quality team members, proven methods and tools, and an intense focus on client satisfaction and delivery to each project. We are confident that our team is the best choice for L&I – we bring PMO and staffing experience, UC expertise, knowledge of the UC marketplace, and an objective, independent viewpoint. We look forward to the opportunity to work with you on this critical initiative.

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3. WORK PLAN

In the sections below CSG provides our comprehensive approach to delivering PMO/Oversight services for the UC Benefits Modernization Project. Our approach includes the following high level tasks:

CSG is uniquely positioned to successfully complete the work outlined in this RFQ.

- CSG has a proven, successful PMO/Oversight and RFP development and management approach.
- The CSG PMO efficiently and effectively facilitates project oversight leveraging our in-depth UC benefits modernization experience.
- The CSG PMO approach establishes strong project governance up front to ensure quality of the DDI Contractor's processes and deliverables.
- CSG has a long history of collaboration with our clients.

- **Project Planning and Management** – describes how we establish the PMO and strong governance processes and structure throughout the life cycle of the project based on our extensive UC Benefits modernization and PMO/Oversight experience
- **Pre-Solicitation** – describes our proven step by step approach for developing a complete system specification for the solicitation of a modernized UC Benefits Replacement System
- **Solicitation and Procurement** – describes our process of developing the UC Benefits Modernization RFP, evaluating vendor proposals and supporting the vendor selection process. We work closely with L&I throughout the process and support the decision making processes based on our extensive experience with vendor negotiations, and our in depth understanding of the UC vendor landscape and L&I's UC benefits modernization requirements
- **Optional Implementation Oversight** – CSG has extensive experience providing IV&V services to our public sector clients and has established a proven methodology and tools to support the IV&V process. This section describes our collaborative and proactive IV&V services and how they minimize project risks and keep project stakeholders informed throughout the project life cycle to ensure there are no surprises
- **Optional UC Tax Functionality** – Based on our deep functional understanding of the UC Tax business area, we describe our approach to providing Pre-Solicitation and Solicitation Development and Support services to fully address the requirements and unique needs of the UC Benefits Modernization Project
- **Reports and Project Controls** – CSG prides itself on producing high-value work products and deliverables that are of the highest quality and workmanship. We work closely with L&I to ensure our project artifacts, templates and deliverables are acceptable early in the development process. This section describes our Deliverable Acceptance Process and provides samples of our meeting templates and project reports.

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3.1 Project Planning and Management

CSG has significant experience providing Project Management Office and Governance services to our clients, and has established itself as a leader in the industry in providing PMO services to state Unemployment Insurance agencies across the country. Our PMO services are delivered by leveraging our core project management methodology, tools, and a proven team to minimize risk and contain costs. In Michigan, CSG managed the pre-solicitation activities (ROI, Roadmap, Requirements, and RFP) and was the oversight vendor for the first pure COTS UI implementation in the country. Additionally, CSG has provided PMO/Oversight services to 20 large scale public sector clients.

CSG's roadmap for Project Management Office services is located on the following page.

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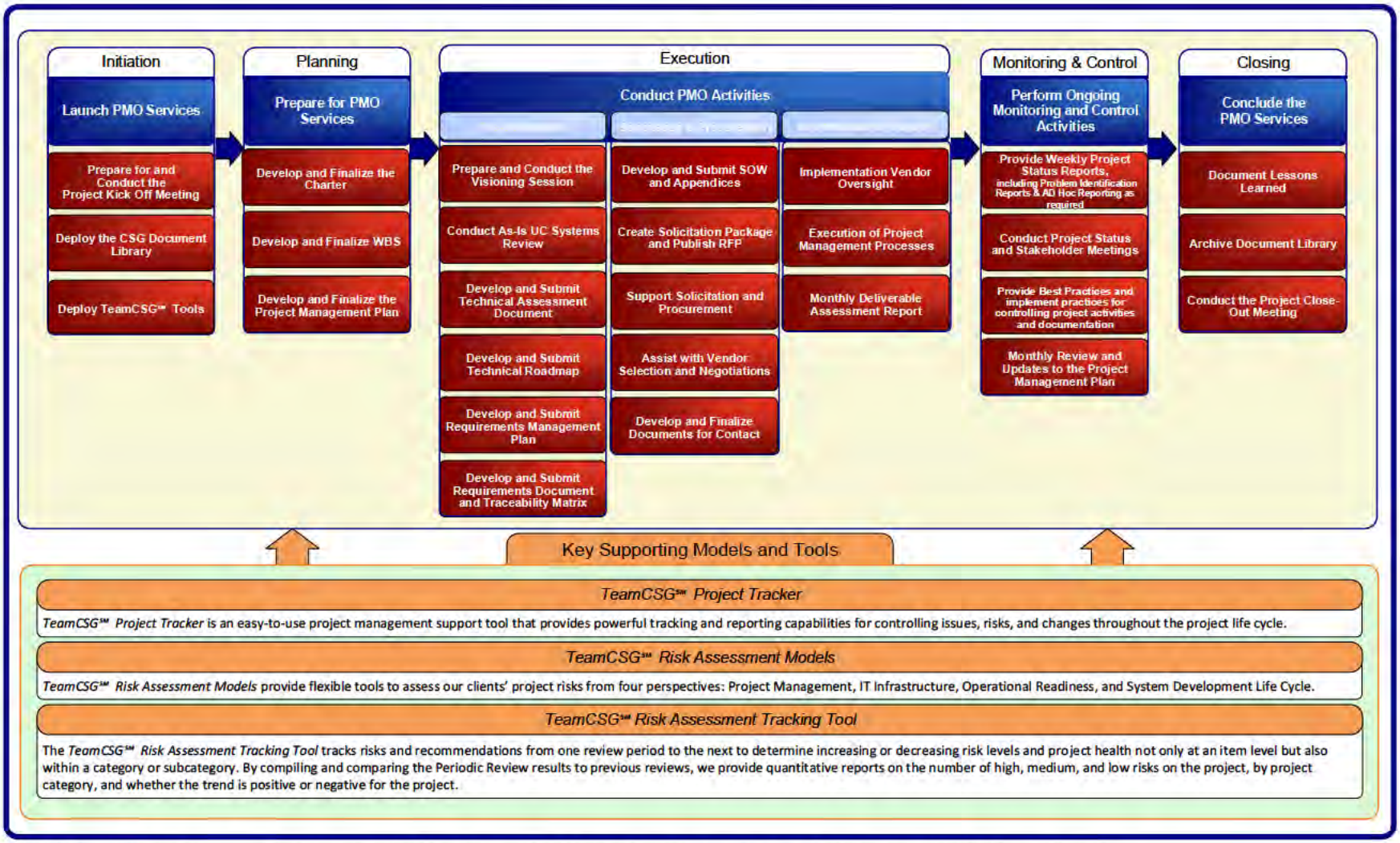
Pennsylvania UC Benefits Modernization Project Management Office



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3.1.1 Establish a Project Management Office

To meet the objectives of the UC Benefits Modernization Project, CSG establishes a PMO by first creating the Project Management Plan documents that define the operating plans and procedures for the PMO. These plans and procedures describe the characteristics that will serve as the foundation for the PMO, for example, a clear and well-understood charter, clear definitions of roles and responsibilities, definition of lines of escalation, and candid communications throughout all phases of the project.

Included with these plans is the establishment of a strong governance structure that provides a decision making and oversight framework for the UC Benefit Modernization program. CSG will develop governance processes for the project including the following:

- Creation of the governance organization including establishment of an Executive Steering Committee (ESC) for the project. The ESC serves as an escalation point for high priority risks, issues and change requests. Following project kick-off, the CSG PMO schedules and conducts necessary meetings with the L&I Project Sponsor and Project Manager, and other key stakeholders to formalize the governance structure for the UC Benefits Modernization Project
- Development and management of a RACI (Responsible-Accountable-Consulted-Informed) chart that identifies and tracks roles and responsibilities for key phases and activities throughout the project life cycle
- Creation of documentation standards and the deliverable approval processes
- Issue and risk management
- Creation and management of project repositories
- Development and maintenance of a comprehensive Project Management Plan

The benefits of establishing and maintaining strong project governance are numerous and include the following:

- Facilitates process coordination
- Draws clear lines of communication and escalation
- Establishes a decision making framework
- Identifies the core responsibilities of the project team and project leadership
- Identifies and mitigates risk
- Keeps the project on track through the management of project scope

The figure on the following page provides an illustration of how the CSG PMO is an important foundation to ensure the success of the UC Benefits Modernization Project, providing management expertise, governance, and oversight throughout the life cycle of the project. As a successful, trusted PMO partner, CSG positions L&I to achieve its objectives for a modernized UC Benefits Replacement System. CSG is a proven and trusted oversight partner; we do not partner with system integrators and remain independent to provide objective third-party PMO services.

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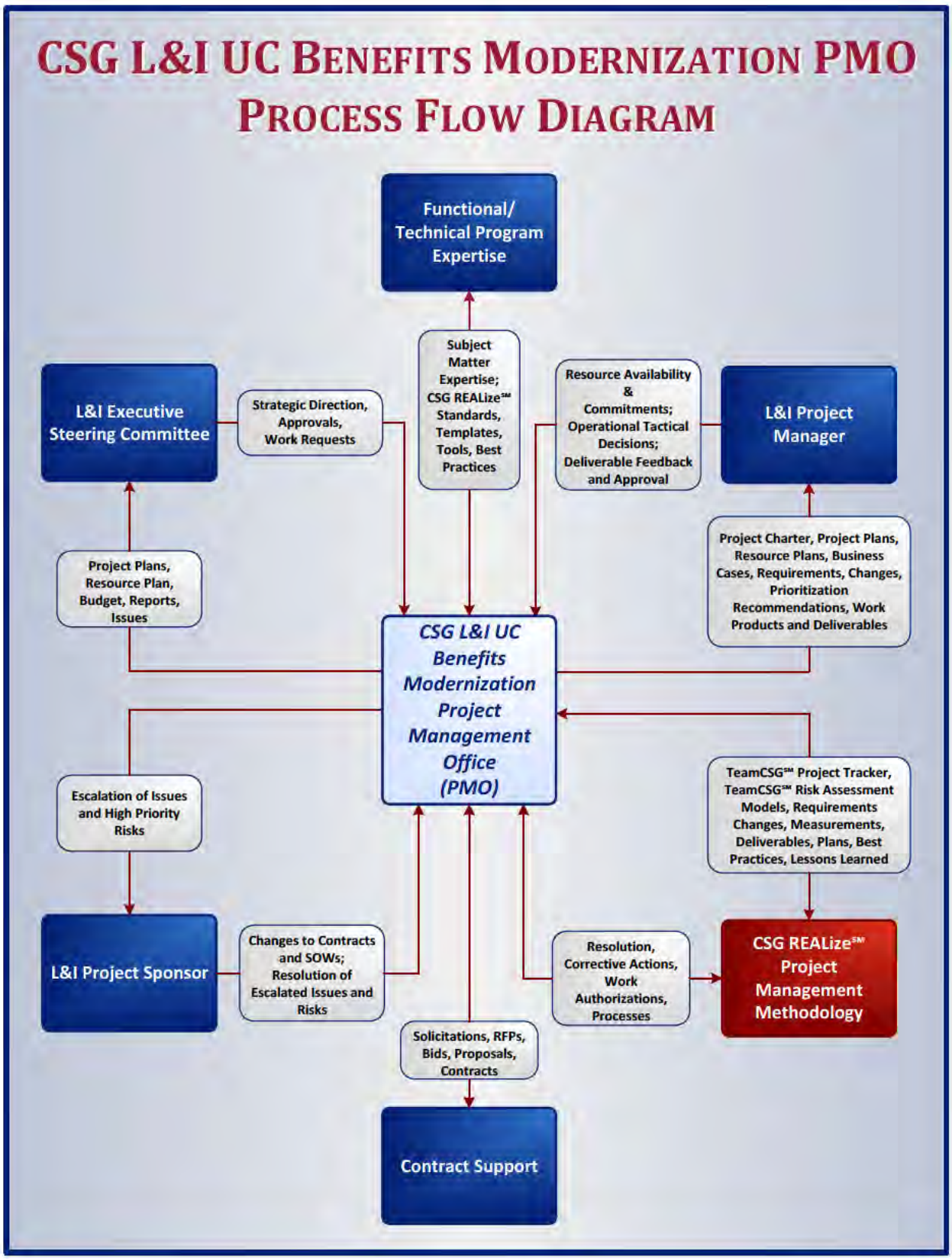
CSG L&I UC BENEFITS MODERNIZATION PMO PROCESS FLOW DIAGRAM



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The graphic below is an organization chart demonstrating the PMO project services team for the UC Benefits Modernization Project.

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3.1.2 Oversight of UC Benefits Project

CSG recognizes the significance of delivering high-quality PMO project services when managing a UC Benefits Modernization Project under the guidance of a PMO. The CSG PMO encourages a holistic and strategic approach with an eye toward detail. Ultimately, we are driven by results, improved customer service, reduction in cost, and L&I's ability to deliver timely services to the public through enhanced process and technology.

Based on our significant experience delivering PMO services in the UC Benefits Modernization Project environment, we understand that the L&I Project Sponsor, Project Manager, Executive Steering Committee, and Change Control Board are responsible for guiding the UC Benefits Modernization Project and making the decisions required to meet the UC Benefits Modernization Project objectives. They depend on the information and recommendations of the PMO. The relationship and integration between the CSG PMO and these decision makers is the most important factor in the success of the PMO.

The CSG PMO facilitates a shared understanding and agreement among all UC Benefits Modernization Project participants leading to what will be delivered, how it will be completed, and the commitment required. Through the course of matured and fitted management, business and technical processes, proven methodologies, and tools, the CSG PMO provides an inclusive and unified means by which to cohesively manage the UC Benefits Modernization Project, minimize risk, and contain costs.

This is accomplished in part by:

- Forming and maintaining a comprehensive project management plan. We work at the direction of the L&I Project Manager and deliver the PMP within the first 30 calendar days of the project
- Establishing and maintaining a strong project governance framework throughout the life of the project
- Developing and maintaining resource utilization mapping and tools
- Creating and maintaining an integrated master project schedule
- Providing budget analysis & management
- Requirements, design, testing, and development of a Requirements Traceability Management (RTM)
- Establishing and hosting the Change Control Board
- Facilitating monthly Executive Steering Committee meetings
- Facilitating director's briefings and weekly management project meetings
- Managing program and project communications
- Facilitating QC reviews of DDI Contractor deliverables

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- Ensuring remediation strategies and plans are defined and enforced that bring deliverables and work products back into compliance

The CSG PMO additionally takes the lead on shared risk identification and associated escalation processes, maintaining issue tracking tools and reporting, and a host of additional responsibilities associated with project management.

3.1.3 Best Practices

Our proposed project management approach is based on industry standards and best practices and augmented with the CSG REALize℠ Project Management Methodology. We have established our Project Management Methodology through our many years of experience and project successes in managing, planning, overseeing, leading, designing, assessing, developing, and deploying complex systems for a wide-variety of government enterprises. Our Project Management Methodology is a living methodology that adapts to unique client challenges and absorbs newly-developed best practices. It embraces industry-standard approaches and is guided by the Project Management Institute in their Project Management Body of Knowledge (PMBOK®).

The CSG PMO provides common planning, managing, tracking and reporting processes, and brings structure and support to evaluating, justifying, defining, planning, and monitoring and controlling project activities and project plans. It also establishes a secure project repository "To-Be" used for managing project documentation.

3.1.4 Project Management

Coordinating a project of the size and complexity of the UC Benefits Modernization Project across the myriad of stakeholders and the DDI Contractor requires a project management structure and project tools that optimize communication and coordination.

One of CSG's key strengths is project planning and delivery. CSG's expertise in project management comes from years of experience successfully managing and delivering large-scale projects, in both the private and public sectors. Our management approach is one based on common sense, open communications, and a style that makes it easy to work with us. We focus on value-added, tangible deliverables that focus on easy to understand organizational plans, shared tools, and a reporting structure that identifies and mitigates risk. Our project management and PMO oversight approach is flexible and can be adjusted to the DDI Contractor's methodology. We have successfully provided PMO and oversight services with waterfall and agile system implementation methodologies.

Figure 1: Project Management Plan – Our comprehensive Project Management Plan fully adheres to the Project Management Institute framework based on the Project Management Body of Knowledge (PMBOK®).

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The CSG Project Management Difference

CSG Government Solutions utilizes our CSG REALize℠ Project Management Methodology on all our projects. We incorporate the experience and skills of our staff in the performance of project activities and implementations. Project managers do not manage a process – they manage people. The success of a project is determined by the personal qualities of the project leaders. *Every* project starts with a Project Plan that identifies the tasks "To-Be" performed, the dependencies between the tasks, the resources and skills required to accomplish the tasks, and the organization of the team, among other things.

The plan for every *successful* project starts with the three key components of project management: leadership, communication, and foresight. Our methodology is differentiated by our approach to these three key components of successful project management:

- **Leadership** – There is no more important factor for achieving the business objectives of the UC Benefits Modernization Project than a project manager who possesses skill, confidence, credibility, and drive. The productivity of the project team is the product of each person understanding their own responsibilities and having confidence that their work is contributing to the success of the team. Only good leaders can gain the confidence of the team and mobilize them effectively.
- **Communication** – Good project managers spend most of their time communicating. Describing objectives, gathering information, discussing issues, assigning responsibilities, counseling teammates, and reporting status are all critical elements of this communication. Clear, candid, and timely multi-way communication among the project team and stakeholders creates the environment for project success.
- **Foresight** – Project management tools organize data. These tools highlight variances to resource estimates or the project schedule but they do not foresee major threats or develop creative solutions. Good project managers take responsibility for proactively identifying looming problems, leading collaborative efforts to analyze solution alternatives, and communicating and implementing solutions. With foresight and creativity, *every* project problem can be solved.

With leadership, communication, and foresight, we perform each of the disciplines comprising our Project Management Plan Components and Methodology, as described in the following table.

Discipline	CSG Project Management Plan Component & Methodology Discipline Description
Risk Management	Complex projects come with many risks. CSG brings a disciplined approach to identifying, analyzing, planning responses, and monitoring risk. We use tools and lessons learned from past experiences to effectively identify and respond to risks that surface during dynamic projects.

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Discipline	CSG Project Management Plan Component & Methodology Discipline Description
Issue Management	Issues identified by team members are tracked and prioritized using an issue tracking system, which is available to all team members. All open issues are reviewed weekly and significant open issues are reported to the L& Project Sponsor and the Executive Steering Committee.
Change Control Management	CSG understands the importance of and required skills necessary to manage the project scope. This begins with a common sense approach of educating all team members on the scope of the project and setting clear expectations of what items are beyond scope and how they should be addressed. We use well-defined scope control procedures on every project that track, estimate, and prioritize change requests.
Communication Management	CSG establishes open lines of communication among all levels of all project teams. We deliver real-time communication so executive management and project management fully understand current progress, issues, risks, findings, and recommendations. We quickly and effectively address concerns.
Quality Management	CSG manages projects such that quality and tangible results are emphasized throughout the project life cycle. We include time in the project plan for functional and technical reviews. Project components are designed with an emphasis on reusability and maintainability. We typically involve clients in reviewing portions of deliverables as they are developed. This builds buy-in and eliminates surprises for you. We conduct internal project reviews to provide objective feedback and recommendations.
Time Management	CSG prepares detailed project plans based on an iterative process of defining phases, activities, and tasks in the work breakdown structure. We closely track actual hours spent on tasks and monitor and report progress against the baseline plan. CSG defines how the schedule is managed and how changes to the schedule are handled. By meeting intermediate schedule milestones, resolving issues timely, and monitoring risk response plans, we keep the project on schedule.
Capacity Plan	The capacity plan identifies the components of the UC Benefits Replacement System such as system metrics, transaction load, application code, storage and server hardware whose capacity and throughput requirements need "To-Be" diligently planned for. The capacity plan defines an approach to monitor and assure sufficient capacity for those system components. The capacity plan will evolve as more information is learned about the system processing requirements, and will be updated to accurately reflect these requirements.
Resource Management	CSG understands the importance of a systematic approach for acquiring and developing staff members engaged on a project. CSG identifies, assigns, and manages all resources. We train all team members in the subject matter, quality processes, required work, and tools for a project and manage to them. CSG also understands the Commonwealth's requirements for personnel replacement as specified in the RFQ and will include these procedures when the Resource Management Plan is developed.

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Discipline	CSG Project Management Plan Component & Methodology Discipline Description
Financial Management	CSG defines, tracks, and monitors costs associated with the project, including how changes to the cost baseline (i.e., the budget plan) are identified, approved, and implemented. We record, track, analyze, and report on project financial activity.
Project Integration Management	Once the DDI contractor is selected and under contract, CSG works with the L&I Project Manager to manage the contractual expectations and performance of the DDI contractor. CSG prepares a Project Management Plan for every engagement and manages our work to that plan.

During the **Pre-Solicitation Phase**, the CSG PMO takes ownership of completing all pre-solicitation activities, e.g., Visioning, "As-Is" UC Benefits Systems Review, Technical Assessment and Roadmap, Requirements Development, and development of the Requirements Traceability Matrix. Our disciplined and measured approach establishes and implements project management processes, methodologies, and tools that maximize project team performance, minimize risk, and contain costs. We estimate the Pre-Solicitation and Solicitation Phase "To-Be" approximately 14 months.

After the DDI Contractor is selected, the CSG PMO shifts into the role of oversight, providing leadership to the UC Benefit Modernization Project in the form of monitoring of the DDI Contractor and their progress, and reporting on status of deliverables critical for on-time, within budget delivery. CSG has experience in project oversight and multiple project implementation methodologies with applicability for COTS, framework and custom software solutions. This Implementation Support period is estimated "To-Be" approximately 18 months.

Our PMO consultants have decades of overall experience with the SDLC, and as a company we have managed projects using the waterfall, iterative, and agile project management methodologies. CSG has provided oversight services in the private and public sectors in a broad array of project implementations, including COTS as well as custom application development projects. This diversity in experience allows us to adapt to the needs of the UC Benefits Modernization Project. We customize our project management approach based on the Commonwealth's standards Information Technology Policies (ITPs) and the approach of the selected UC Benefits replacement system vendor.

Supporting and Investing in Our Projects

CSG understands that effective management of complex projects demands a versatile and capable PMO. CSG has the expertise in project management and oversight that is only acquired through years of experience successfully managing, coordinating, and delivering large-scale projects in complex government environments.

CSG bases our UC Benefits Modernization PMO approach on our foundational CSG REALize℠ methodology. CSG REALize℠ incorporates a methodology using the skills we have developed on

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our implementation projects. This allows us to leverage existing best practices, tools, and templates to assist in the UC Benefits Modernization Project. **We work closely with the Commonwealth's Leadership** to determine exactly how to meet your needs for ensuring quality deliverables.

CSG has a longstanding history of providing quality project management services for a wide array of clients, including multi-year contracts. We support our project teams with proven methodologies, valuable project tools and the latest information on UC Modernization landscape. We staff our project teams properly and maintain the appropriate team members for each CSG project, including the UC Benefits Modernization Project.

We invest in our teams to ensure our clients' success. We provide our teams with the invaluable executive and support structures that leverage best practices and lessons learned from prior experiences. We describe below how we support meeting the requirements outlined in this RFQ for assisting the Commonwealth with the management of the UC Benefits Modernization Project, and for providing Subject Matter Experts to work on behalf of the Commonwealth to address project needs.

CSG's Centers of Excellence: CSG established Centers of Excellence (CoEs) as internal focalized venues for staff development and continuing education. Our CoEs advance lessons learned and best practices from industry standards, CSG's industry participation, and our current UC and Project Management Office activities. This is but one vehicle through which we maintain the highest quality of experienced staff in the industry. Our **UI Program Modernization CoE,** led by Jim Mahony, establishes regular communication with our project teams in the field, bringing together project managers and other team members to discuss challenges and solutions across CSG's UI projects. Jim Mahony serves in the role of Client Executive for the UC Benefits Modernization Project. Our **Project Management Office CoE**, led by Richard Staten, provides a full range of processes that support the capability to maximize the value of modernization objectives, including program expertise, strategy and planning, requirements definition, procurement support, project management and control, organizational change management, and quality assurance. Richard Staten serves in the role of Project Advisor for the UC Benefits Modernization Project.

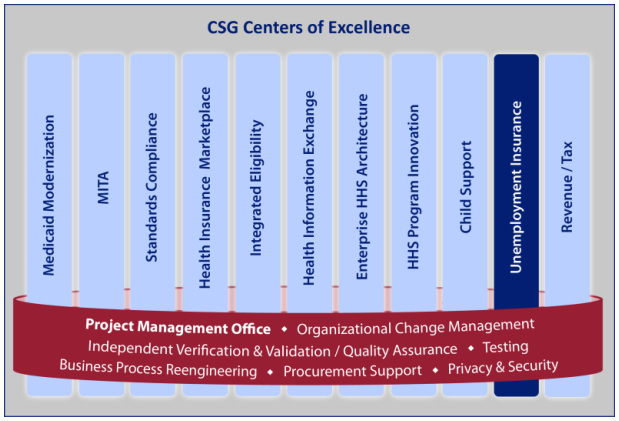

Figure 2: CSG UI Program Modernization and Project Management Office Centers of Excellence

Through our Centers of Excellence, our project teams identify and share the types of tools, methods, and information necessary to complete the tasks at hand.

- **Project Performance Group:** To support our corporate commitment to the success of our state-government clients, CSG has an established, centralized Project Performance Group (PPG) that

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supports our client executives, project managers, and project teams directly, providing oversight and guidance to ensure standards and best practices are incorporated into all projects. The PPG is our internal project management office, led by our PPG Director, Drew Sutter. It is structured to provide quality assurance for all of our projects and to support our project teams by providing direct and efficient access to executives, project advisors, and subject matter experts. The PPG provides project planning, oversight, and control, and assists with management, elevation, and resolution of project issues. The PPG conducts weekly operations meetings with the CSG Project Manager to assess staffing needs and address any issues or risks of our ongoing engagements.

In addition to our PPG, our PMO Project Manager for this engagement is supported by a dedicated Client Executive, Jim Mahony. Jim is also the Director of CSG's Unemployment Insurance practice, and provides ongoing project support regarding quality, staffing, and any issues that need "To-Be" addressed or escalated.

- **CSG REALize℠: We help you REALize℠ your vision.** In the CSG Centers of Excellence, program and technology experts combine research and field experience to produce the CSG REALize℠ artifacts that enable our project teams to consistently deliver the highest quality services. CSG's highly experienced project teams utilize the CSG REALize℠ collection of program modernization methods, knowledge, and tools to consistently deliver the highest quality services.

Our CoEs are sources of continuous information, analytics, and timely roundtable conferences that provide insight and guidance to all CSG teams and directly serve our clients in the completion of project tasks. **Every CSG employee has access to the entire collection of CSG REALize℠ products, artifacts, and information on our CSG-issued tablet device**. Our CSG REALize℠ team collects the information gleaned from our research on critical UI topics, our experiences on current and prior projects, and our personnel and corporate industry participation and makes it available across our project teams through the use of our CSG tablets. **This continual bi-directional flow of information ensures the Commonwealth that industry best practices and lessons learned are integrated into every activity the CSG Team conducts.**

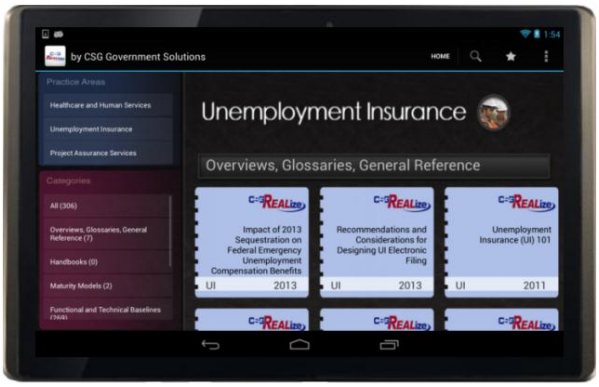

Figure 3: CSG REALize℠ Tablets – The tablet gives each CSG team member access to our collection of CSG REALize℠ methods, knowledge, and tools, as well as lessons learned from prior projects.

In the CSG Centers of Excellence, CSG REALize℠ products are continuously launched and refined. Teams of program and technical experts apply their experience and lessons

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learned to assure that CSG REALize℠ provides maximum benefit to our clients and solution delivery teams via the CSG tablets.

Featured TeamCSG℠ Tools

TeamCSG℠ is the foundation for the tools that our project team uses on the project. Our TeamCSG℠ Project Site is a secure, highly customized Microsoft Office SharePoint Server-based web site for use by L&I and CSG project team members. CSG hosts, administers, and manages the site and several of our **high-value tools** for use throughout the project. All of these tools are housed within, accessed through, or are an integral part of the TeamCSG℠ Project Site. The project site is accessible to all team members according to each member's security permissions or authorizations and is flexible and easily adaptable to meet the specific needs of this project.

CSG's automated tools provide support for our project management activities described throughout *Section 3.1, Project Planning and Management* and the tools support our team's PMO/Oversight activities. Every tool is designed to promote collaboration, efficiency, reporting, and the delivery of robust, comprehensive, high-quality project artifacts.

Our team utilizes the following automated tools on the UC Benefits Modernization Project Management and IV&V Services project. Each of these tools is described in more detail on the following pages.

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Our ***TeamCSG℠ Project Site*** is a secure site, dedicated for this project, where project team members and approved stakeholders can access and utilize our TeamCSG℠ toolset. The site is developed and deployed on CSG's SharePoint platform and serves to house the tools that our team uses on the project. Each TeamCSG℠ Project Site is a collaborative, user-friendly tool that is easy to navigate, especially to those familiar with or who have experience with Microsoft® Office Tools.

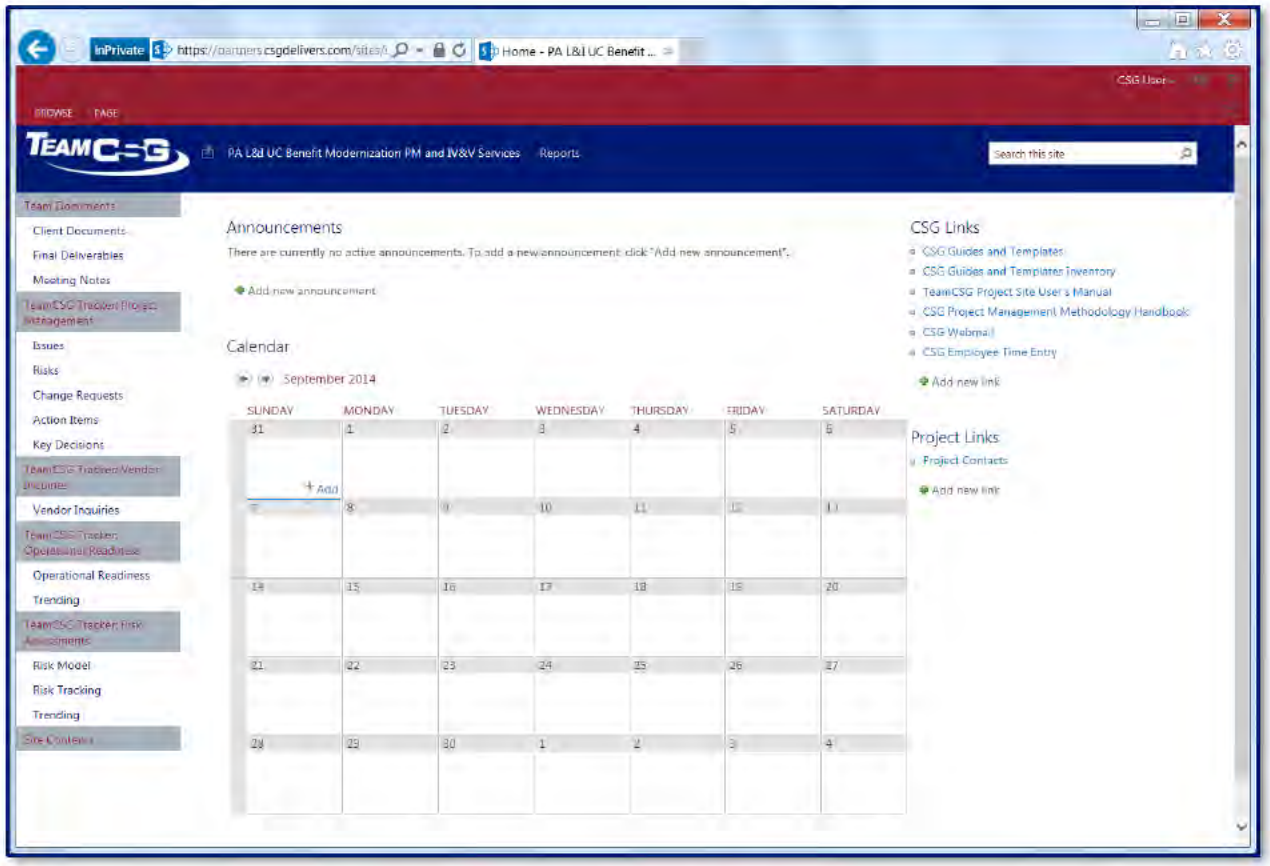

Figure 4: *TeamCSG℠ Portal –*
The *TeamCSG℠ Project Site* provides our team with a customized site for use of our TeamCSG℠ tools. This screenshot illustrates the main landing page for our project site.

TeamCSG℠ Project Tracker is an easy-to-use project management support tool that provides powerful tracking and reporting capabilities for controlling scope, issues, risks, and changes throughout the project life cycle. The screenshots on the following page show the new item entry pages for each of the primary functions of our Project Tracker tool.

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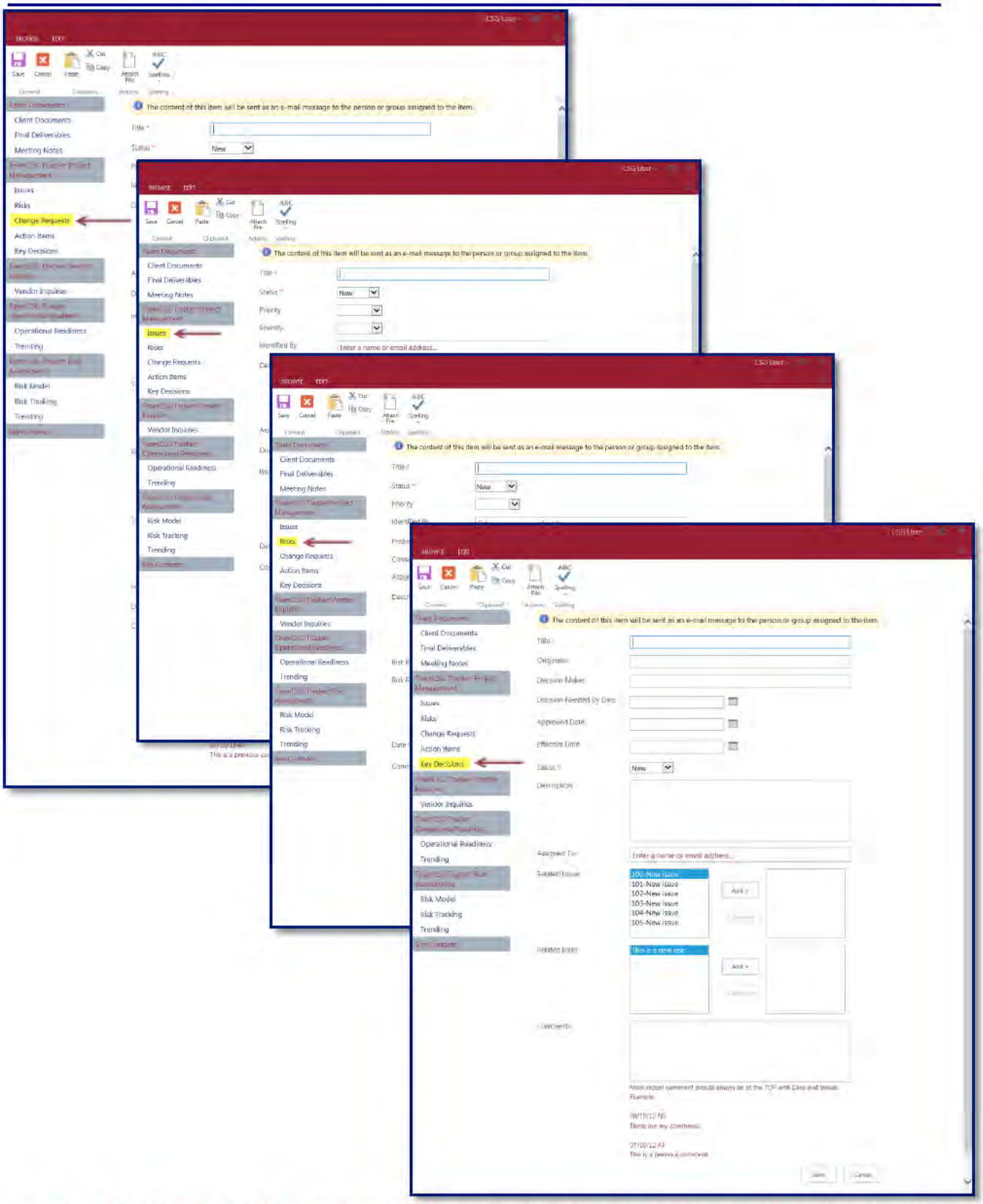

Figure 5: *TeamCSG℠ Project Tracker* – *TeamCSG℠ Project Tracker* helps our project team capture and track issues, risks, change requests, action items, and other important project occurrences. The screenshot above shows the input forms used to capture a change request, key decision, issue, and a risk during the project.

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TeamCSG℠ Risk Assessment Models and Checklists are flexible, value-added tools for assessing project risks from four different perspectives: project management, IT infrastructure, software development life cycle, and operational readiness. Each model contains a baseline of potential risk areas that have been identified through our work in the field on various program modernization projects. For each risk area, attributes are described and potential mitigation strategies identified, tracked, and analyzed. The tool forms the critical base from which we customize the checklists we use in each assessment activity. CSG refines and customizes the checklists to account for the review activities solicited.

Figure 6: *TeamCSG℠ Risk Assessment Models*

TeamCSG℠ Risk Assessment Tracking Tool tracks risks and recommendations from one review period to the next to determine increasing or decreasing risk levels and project health not only at an item level but within a category or subcategory. By compiling and comparing the results to previous reviews, we provide quantitative reports on the number of high, medium, and low risks on the project, by project category, and whether the trend is positive or negative for the project.

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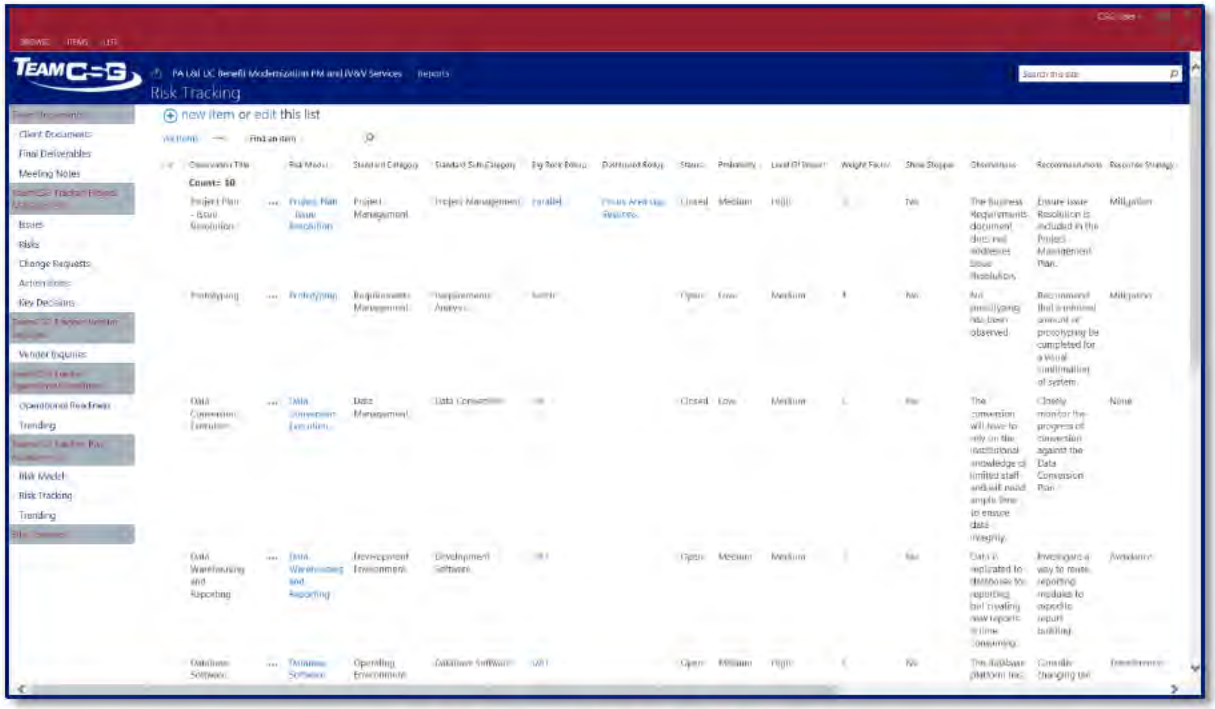

Figure 7: *TeamCSG℠ Risk Tracking Tool*

TeamCSG℠ Operational Readiness Tool provides our project team with powerful tracking and reporting capabilities for controlling risks and monitoring when a system is ready for a Go/No Go decision, and whether it is ready to go live. It determines readiness based on a pre-defined checklist and criteria that includes items covered for any implementation, specific to each contractor (e.g., contract requirements, procurement documents), and specific to the system implementation.

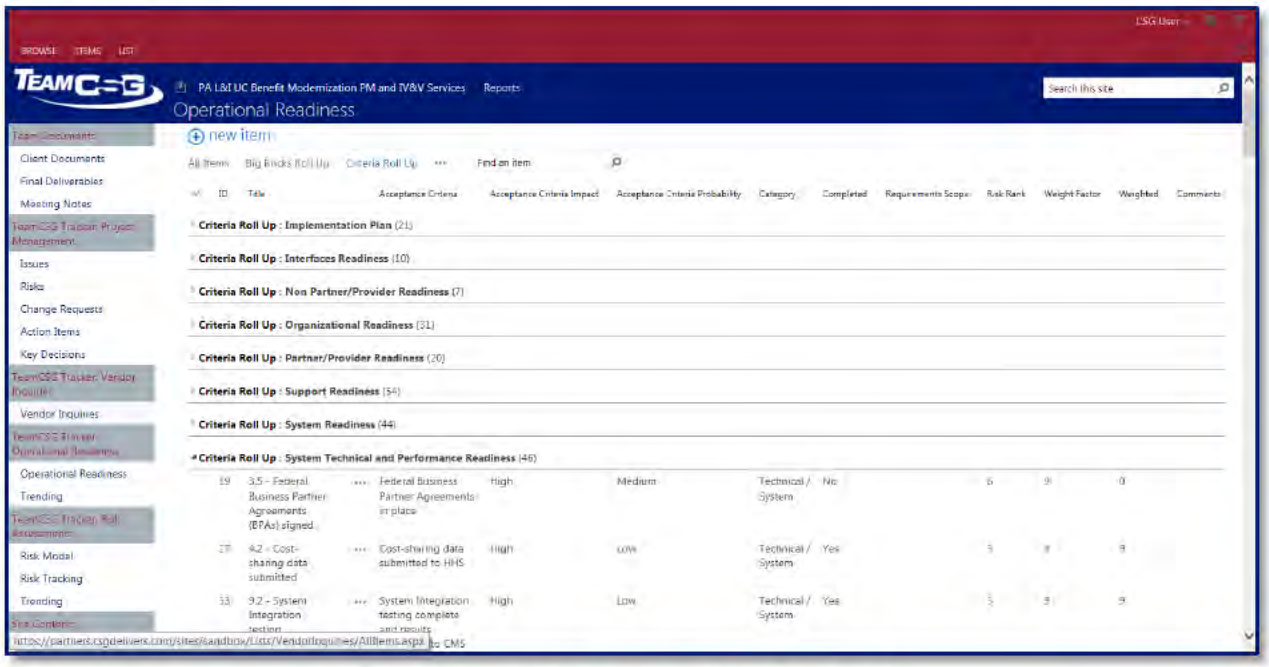

Figure 8: *TeamCSG℠ Operational Readiness Tool*

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3.1.5 Project Charter and Project Management Plan

CSG understands the importance of the Project Charter and the Project Management Plan as foundational project planning and management documents. A clear and well-understood Charter ensures the project team and all stakeholders have a common understanding of the project at a conceptual level. The Project Charter also describes the role and structure of the CSG PMO, how it will be implemented, and how it interacts with executives, project managers, and other stakeholders. It contains the L&I vision, objectives, goals, and deliverables, and it links to L&I's business strategy. The Project Charter includes the following main sections:

Section	Description
Overview	Provides project justification, background summary, and purpose of the of the Project Charter
Project Description	Provides the project description and approach, objectives, success criteria and high level timeline
Project Authority	Identifies the authority of the individual or organization initiating the project and the authority of the L&I and CSG PMO project managers
Roles and Responsibilities	Introduces the project team organization, both CSG as well as L&I's, and describes the general roles and responsibilities of each team member
Scope Statement	Provides a high level summary of the scope of work, identified by the phases and high level activities of the overall project approach as defined in the RFQ. More detailed information regarding what is in scope vs. out of scope is captured in the Project Management Plan
Assumptions, Constraints and Risks	Describes any likely condition, circumstance, or event considered "To-Be" known and true in the absence of absolute certainty in the project. These are things that would typically be expected to occur, are often misunderstood, and represent a material impact to the schedule, resources, budget, or quality of the project. More detailed information regarding project assumptions is captured in the Project Management Plan
Signoff and Approval	Confirms the Project Charter content has been reviewed by all the necessary project stakeholders, and the authorized signers accept and approve the content
Project Glossary and Acronyms	A table that includes the Project Term or Acronym and its definition

Once the charter is approved, it serves as the benchmark for evaluating change requests to determine if the request is in or out of scope.

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3.1.5.1 Project Management Plan

With leadership, communication, and foresight, we execute the plans and procedures defined in the Project Management Plan. The CSG Project Management Plan fully adheres to the Project Management Institute framework based on the Project Management Body of Knowledge, and ensures consistent and comprehensive management of all project activities and processes. The scope of our PMP encompasses all project management and oversight activities needed throughout the entire implementation oversight period. We work closely with the L&I Project Manager and submit the PMP within the first 30 calendar days of the project start. The PMP is then reviewed monthly and updated as necessary to reflect any changes in the project approach, e.g., if optional oversight work is granted to CSG.

In addition, CSG develops the Project Deliverable Assessment Report and will update this report monthly to keep an accurate account of overall deliverable status. The specifics of the Project Deliverable Assessment Report are defined as part of the Quality Management Plan.

Project Plan

As described above, the Project Charter establishes a clear scope for the UC Benefits Modernization Project by describing the overall approach to the project in terms of phasing and high level activities as identified in the RFQ. The objectives "To-Be" realized by execution of the project are also clearly identified, including those "To-Be" realized downstream from the project. The scope statement in the Charter provides a baseline for L&I and the CSG PMO Team to define what is in scope for this project, and provides a general description of the project approach.

Scope Management is the process by which project scope is defined, managed, controlled, verified, altered and communicated to L&I project stakeholders. To ensure clear understanding of scope, the Charter also identified items that are not within the scope of this project. The level of detail included within the scope statement is dependent on the communication needs of the project. The items within the scope of the project are managed through the Change Control Management Plan described later in this section. The magnitude of scope changes and the scope management process ensures only essential potential scope modifications are considered and the impact to the project is fully understood by all stakeholders before any scope changes are adopted.

We have estimated the timeline for the UC Benefits Modernization Project "To-Be":

- 14 months for Pre-solicitation
- 18 months for Solicitation and Procurement

The WBS (Project Schedule) and timeline graphics on the following pages provide the overall project timeline and major milestones/deliverables for the UC Benefits Modernization Project.

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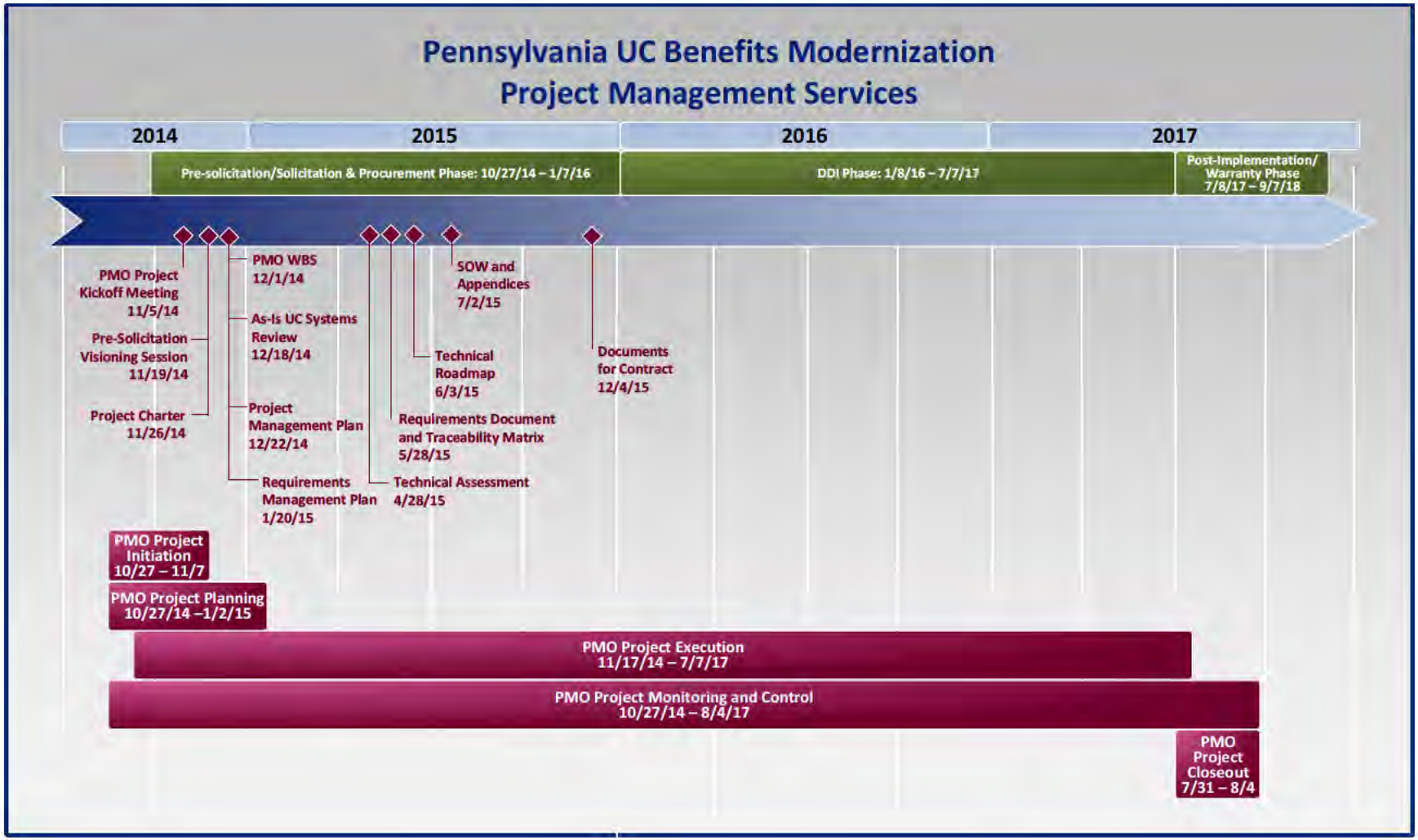
Project Timeline



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Initial WBS (Project Schedule)

CSG provides our initial WBS (Project Schedule) for the L&I UC Benefits Modernization Project Management Services on the following pages. Our initial WBS (Project Schedule has been provided in *Section 3.4, Optional Implementation Oversight.*

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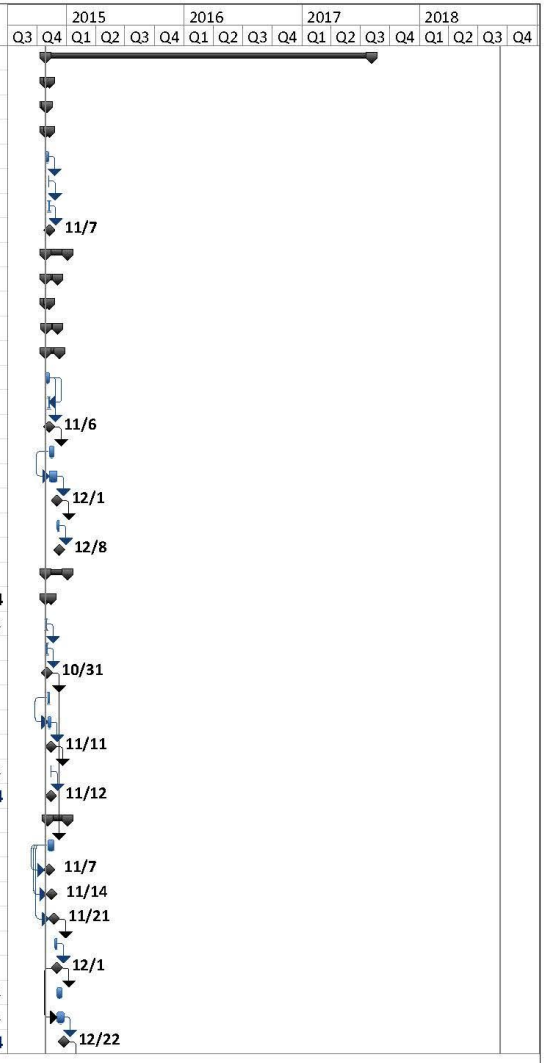
ID	Task Mode	Task Name	Start	Finish
1		**PA UC Benefits Modernization PMO Services**	**Mon 10/27/14**	**Fri 8/4/17**
2		**PMO Project Initiation**	**Mon 10/27/14**	**Fri 11/7/14**
3		**Project SharePoint Site**	**Mon 10/27/14**	**Fri 10/31/14**
6		**Project Kickoff Meeting**	**Mon 10/27/14**	**Fri 11/7/14**
7		Prepare For Project Kickoff Meeting	Mon 10/27/14	Tue 11/4/14
8		Conduct Project Kickoff Meeting	Wed 11/5/14	Wed 11/5/14
9		Prepare and Distribute Project Kickoff Meeting Summary	Thu 11/6/14	Fri 11/7/14
10		**Project Initiation Complete**	**Fri 11/7/14**	**Fri 11/7/14**
11		**PMO Project Planning**	**Mon 10/27/14**	**Fri 1/2/15**
12		**Project Charter**	**Mon 10/27/14**	**Wed 12/3/14**
13		**Project Charter Deliverable Expectation Document**	**Mon 10/27/14**	**Fri 11/7/14**
22		**Project Charter**	**Wed 10/29/14**	**Wed 12/3/14**
31		**Work Breakdown Structure (Project Schedule)**	**Mon 10/27/14**	**Mon 12/8/14**
32		Develop: Draft WBS (Project Schedule)	Mon 10/27/14	Thu 11/6/14
33		Internal QA Review: Draft WBS (Project Schedule)	Wed 11/5/14	Thu 11/6/14
34		**Submitted: Draft WBS (Project Schedule)**	**Thu 11/6/14**	**Thu 11/6/14**
35		Commonwealth Review: Draft WBS (Project Schedule)	Fri 11/7/14	Thu 11/20/14
36		Finalize: Draft WBS (Project Schedule)	Fri 11/7/14	Mon 12/1/14
37		**Submitted: Final WBS (Project Schedule)**	**Mon 12/1/14**	**Mon 12/1/14**
38		Commonwealth Review: Final WBS (Project Schedule)	Tue 12/2/14	Mon 12/8/14
39		**Approved: Final WBS (Project Schedule)**	**Mon 12/8/14**	**Mon 12/8/14**
40		**PMO Project Management Plan**	**Mon 10/27/14**	**Fri 1/2/15**
41		**Project Management Plan Deliverable Expectation Document**	**Mon 10/27/14**	**Wed 11/12/14**
42		Develop: Draft Project Management Plan DED	Mon 10/27/14	Wed 10/29/14
43		Internal QA Review: Draft Project Management Plan DED	Thu 10/30/14	Fri 10/31/14
44		**Submitted: Draft Project Management Plan DED**	**Fri 10/31/14**	**Fri 10/31/14**
45		Commonwealth Review: Draft Project Management Plan DED	Mon 11/3/14	Fri 11/7/14
46		Finalize: Draft Project Management Plan DED	Mon 11/3/14	Tue 11/11/14
47		**Submitted: Final Project Management Plan DED**	**Tue 11/11/14**	**Tue 11/11/14**
48		Commonwealth Review: Final Project Management Plan DED	Wed 11/12/14	Wed 11/12/14
49		**Approved: Final Project Management Plan DED**	**Wed 11/12/14**	**Wed 11/12/14**
50		**Project Management Plan**	**Mon 11/3/14**	**Fri 1/2/15**
51		Develop: Draft Project Management Plan	Mon 11/3/14	Fri 11/21/14
52		**Conduct Interim Review # 1 with Commonwealth Staff**	**Fri 11/7/14**	**Fri 11/7/14**
53		**Conduct Interim Review # 2 with Commonwealth Staff**	**Fri 11/14/14**	**Fri 11/14/14**
54		**Conduct Interim Review # 3 with Commonwealth Staff**	**Fri 11/21/14**	**Fri 11/21/14**
55		Internal QA Review: Draft Project Management Plan	Mon 11/24/14	Mon 12/1/14
56		**Submitted: Draft Project Management Plan**	**Mon 12/1/14**	**Mon 12/1/14**
57		Commonwealth Review: Draft Project Management Plan	Tue 12/2/14	Mon 12/15/14
58		Finalize: Draft Project Management Plan	Tue 12/2/14	Mon 12/22/14
59		**Submitted: Final Project Management Plan**	**Mon 12/22/14**	**Mon 12/22/14**



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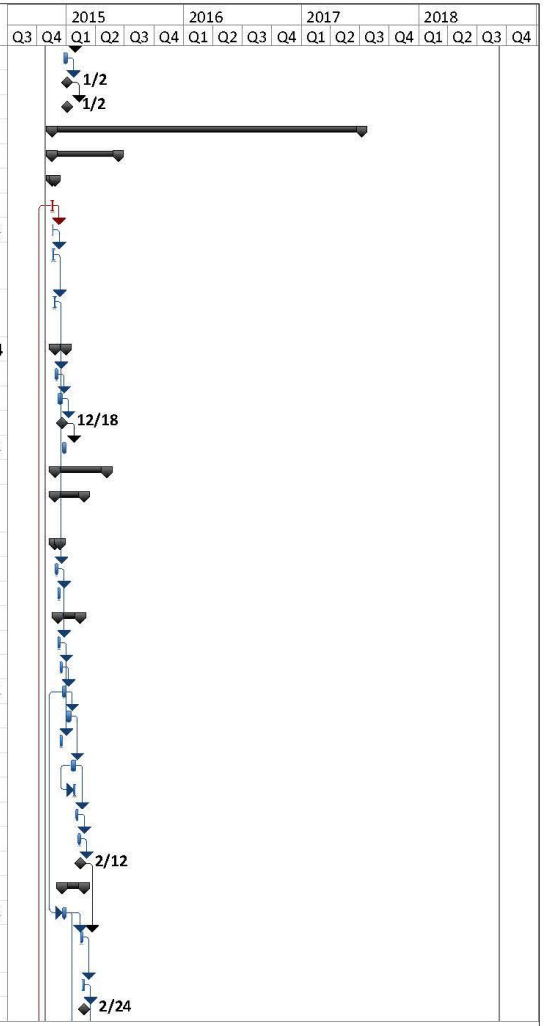
ID	Task Mode	Task Name	Start	Finish
60		Commonwealth Review: Final Project Management Plan	Tue 12/23/14	Fri 1/2/15
61		**Approved: Final Project Management Plan**	**Fri 1/2/15**	**Fri 1/2/15**
62		**Project Planning Complete**	**Fri 1/2/15**	**Fri 1/2/15**
63		**PMO Project Execution**	**Mon 11/17/14**	**Fri 7/7/17**
64		**Pre-Solicitation**	**Mon 11/17/14**	**Wed 6/10/15**
65		**Visioning Session**	**Mon 11/17/14**	**Tue 11/25/14**
66		Prepare and Schedule Visioning Session	Mon 11/17/14	Tue 11/18/14
67		Conduct Visioning Session with Commonwealth Staff	Wed 11/19/14	Wed 11/19/14
68		Prepare and Distribute Commonwealth UC Benefits Vision Report	Thu 11/20/14	Fri 11/21/14
69		Review UC Benefits Vision Report and Update Based on Commonwealth Feedback	Mon 11/24/14	Tue 11/25/14
70		**As-Is UC Systems Review**	**Wed 11/26/14**	**Mon 12/29/14**
71		Conduct As-Is Assessment of PA UC Systems	Wed 11/26/14	Thu 12/4/14
72		Develop As-Is Technical Architecture Diagram	Fri 12/5/14	Thu 12/18/14
73		**Submit As-Is Technical Architecture Diagram**	**Thu 12/18/14**	**Thu 12/18/14**
74		Conduct Walk Thru of As-Is Technical Architecture Diagram	Fri 12/19/14	Mon 12/29/14
75		**Technical Assessment**	**Wed 11/26/14**	**Tue 5/5/15**
76		**Perform Industry Research on UC Benefits Systems and Industry Best Practices**	**Wed 11/26/14**	**Tue 2/24/15**
77		**Industry Best Practice Analysis**	**Wed 11/26/14**	**Thu 12/11/14**
78		Conduct Industry Research and Analysis	Wed 11/26/14	Thu 12/4/14
79		Prepare Industry Knowledge Summary	Fri 12/5/14	Thu 12/11/14
80		**Request For Information**	**Fri 12/5/14**	**Thu 2/12/15**
81		Prepare Request For Information	Fri 12/5/14	Thu 12/11/14
82		Commonwealth Review of RFI	Fri 12/12/14	Thu 12/18/14
83		Procurement Publishes RFI	Fri 12/19/14	Mon 12/29/14
84		Vendors Develop Responses	Tue 12/30/14	Wed 1/14/15
85		Develop Vendor Feedback Form	Fri 12/12/14	Thu 12/18/14
86		Review RFI Submissions	Thu 1/15/15	Thu 1/29/15
87		Schedule Vendor Demonstrations	Fri 1/23/15	Mon 1/26/15
88		Conduct Vendor Demonstrations	Fri 1/30/15	Thu 2/5/15
89		Develop RFI Summary Report	Fri 2/6/15	Thu 2/12/15
90		**Submit RFI Summary Report**	**Thu 2/12/15**	**Thu 2/12/15**
91		**UI Benefits System Solution Options**	**Fri 12/19/14**	**Tue 2/24/15**
92		Prepare Solution Option Workshop Materials	Fri 12/19/14	Mon 12/29/14
93		Conduct Workshop to Select Three Best Options for the Commonwealth's UI System	Fri 2/13/15	Thu 2/19/15
94		Develop System Solution Options for Consideration	Fri 2/20/15	Tue 2/24/15
95		**Submit System Solution Options for Consideration**	**Tue 2/24/15**	**Tue 2/24/15**



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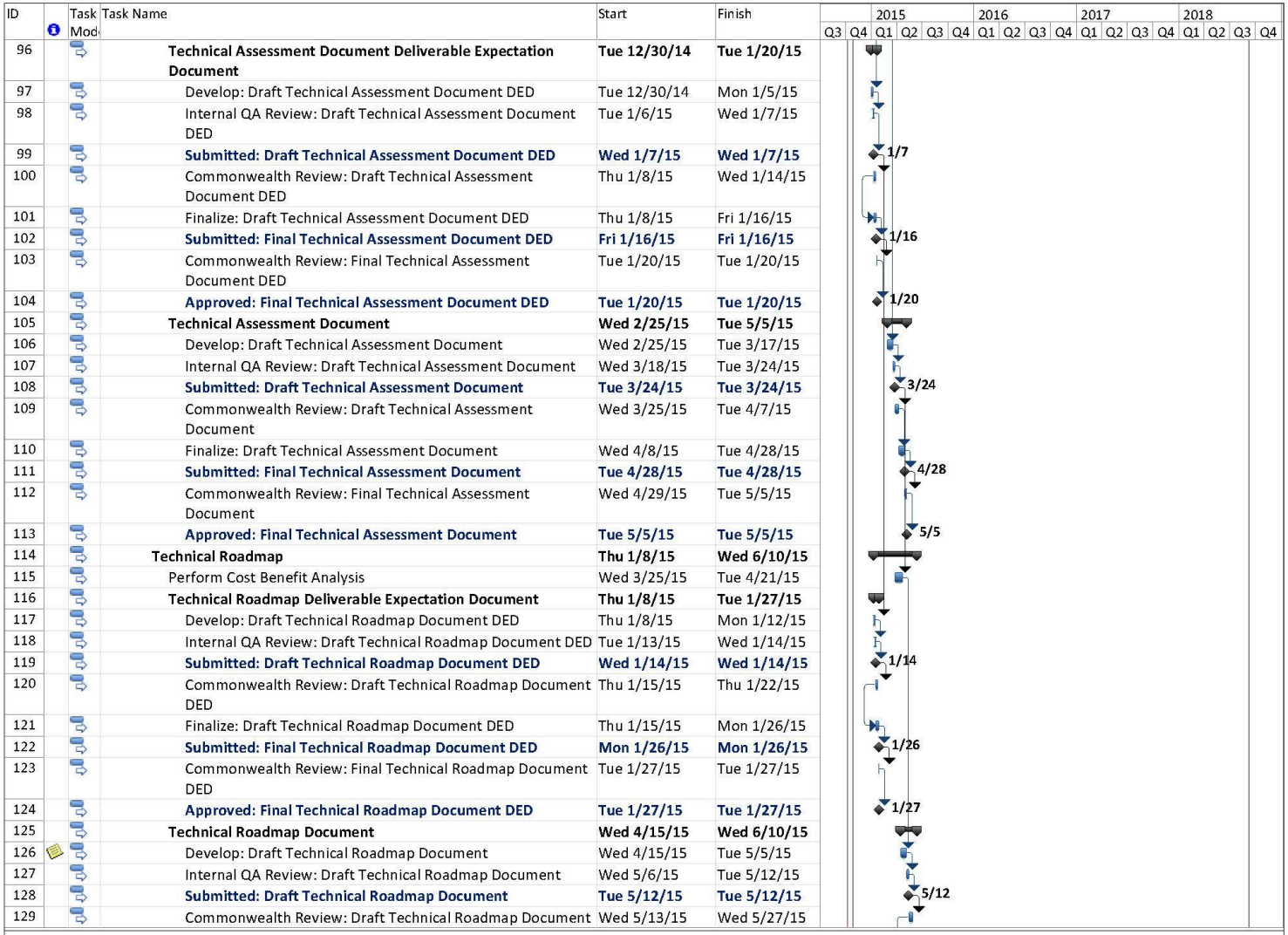

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96		**Technical Assessment Document Deliverable Expectation Document**	**Tue 12/30/14**	**Tue 1/20/15**
97		Develop: Draft Technical Assessment Document DED	Tue 12/30/14	Mon 1/5/15
98		Internal QA Review: Draft Technical Assessment Document DED	Tue 1/6/15	Wed 1/7/15
99		**Submitted: Draft Technical Assessment Document DED**	**Wed 1/7/15**	**Wed 1/7/15**
100		Commonwealth Review: Draft Technical Assessment Document DED	Thu 1/8/15	Wed 1/14/15
101		Finalize: Draft Technical Assessment Document DED	Thu 1/8/15	Fri 1/16/15
102		**Submitted: Final Technical Assessment Document DED**	**Fri 1/16/15**	**Fri 1/16/15**
103		Commonwealth Review: Final Technical Assessment Document DED	Tue 1/20/15	Tue 1/20/15
104		**Approved: Final Technical Assessment Document DED**	**Tue 1/20/15**	**Tue 1/20/15**
105		**Technical Assessment Document**	**Wed 2/25/15**	**Tue 5/5/15**
106		Develop: Draft Technical Assessment Document	Wed 2/25/15	Tue 3/17/15
107		Internal QA Review: Draft Technical Assessment Document	Wed 3/18/15	Tue 3/24/15
108		**Submitted: Draft Technical Assessment Document**	**Tue 3/24/15**	**Tue 3/24/15**
109		Commonwealth Review: Draft Technical Assessment Document	Wed 3/25/15	Tue 4/7/15
110		Finalize: Draft Technical Assessment Document	Wed 4/8/15	Tue 4/28/15
111		**Submitted: Final Technical Assessment Document**	**Tue 4/28/15**	**Tue 4/28/15**
112		Commonwealth Review: Final Technical Assessment Document	Wed 4/29/15	Tue 5/5/15
113		**Approved: Final Technical Assessment Document**	**Tue 5/5/15**	**Tue 5/5/15**
114		**Technical Roadmap**	**Thu 1/8/15**	**Wed 6/10/15**
115		Perform Cost Benefit Analysis	Wed 3/25/15	Tue 4/21/15
116		**Technical Roadmap Deliverable Expectation Document**	**Thu 1/8/15**	**Tue 1/27/15**
117		Develop: Draft Technical Roadmap Document DED	Thu 1/8/15	Mon 1/12/15
118		Internal QA Review: Draft Technical Roadmap Document DED	Tue 1/13/15	Wed 1/14/15
119		**Submitted: Draft Technical Roadmap Document DED**	**Wed 1/14/15**	**Wed 1/14/15**
120		Commonwealth Review: Draft Technical Roadmap Document DED	Thu 1/15/15	Thu 1/22/15
121		Finalize: Draft Technical Roadmap Document DED	Thu 1/15/15	Mon 1/26/15
122		**Submitted: Final Technical Roadmap Document DED**	**Mon 1/26/15**	**Mon 1/26/15**
123		Commonwealth Review: Final Technical Roadmap Document DED	Tue 1/27/15	Tue 1/27/15
124		**Approved: Final Technical Roadmap Document DED**	**Tue 1/27/15**	**Tue 1/27/15**
125		**Technical Roadmap Document**	**Wed 4/15/15**	**Wed 6/10/15**
126		Develop: Draft Technical Roadmap Document	Wed 4/15/15	Tue 5/5/15
127		Internal QA Review: Draft Technical Roadmap Document	Wed 5/6/15	Tue 5/12/15
128		**Submitted: Draft Technical Roadmap Document**	**Tue 5/12/15**	**Tue 5/12/15**
129		Commonwealth Review: Draft Technical Roadmap Document	Wed 5/13/15	Wed 5/27/15

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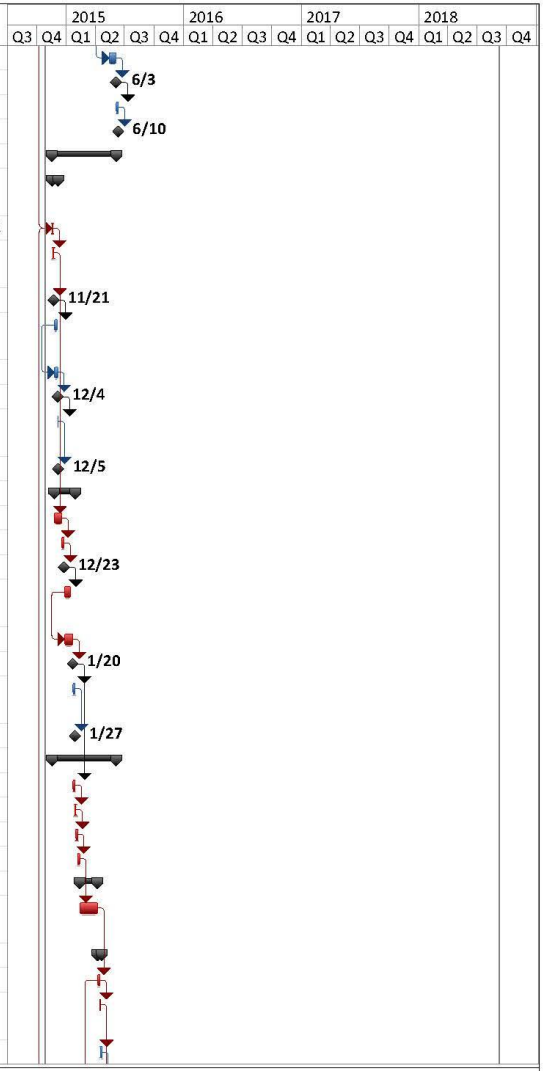
ID	Task Mod	Task Name	Start	Finish
130		Finalize: Draft Technical Roadmap Document	Wed 5/13/15	Wed 6/3/15
131		**Submitted: Final Technical Roadmap Document**	**Wed 6/3/15**	**Wed 6/3/15**
132		Commonwealth Review: Final Technical Roadmap Document	Thu 6/4/15	Wed 6/10/15
133		**Approved: Final Technical Roadmap Document**	**Wed 6/10/15**	**Wed 6/10/15**
134		**Requirements Document and Requirements Traceability Matrix**	**Mon 11/17/14**	**Thu 6/4/15**
135		**Requirements Management Plan Deliverable Expectation Document**	**Mon 11/17/14**	**Fri 12/5/14**
136		Develop: Draft Requirements Management Plan DED	Mon 11/17/14	Wed 11/19/14
137		Internal QA Review: Draft Requirements Management Plan DED	Thu 11/20/14	Fri 11/21/14
138		**Submitted: Draft Requirements Management Plan DED**	**Fri 11/21/14**	**Fri 11/21/14**
139		Commonwealth Review: Draft Requirements Management Plan DED	Mon 11/24/14	Tue 12/2/14
140		Finalize: Draft Requirements Management Plan DED	Mon 11/24/14	Thu 12/4/14
141		**Submitted: Final Requirements Management Plan DED**	**Thu 12/4/14**	**Thu 12/4/14**
142		Commonwealth Review: Final Requirements Management Plan DED	Fri 12/5/14	Fri 12/5/14
143		**Approved: Final Requirements Management Plan DED**	**Fri 12/5/14**	**Fri 12/5/14**
144		**Requirements Management Plan**	**Mon 11/24/14**	**Tue 1/27/15**
145		Develop: Draft Requirements Management Plan	Mon 11/24/14	Tue 12/16/14
146		Internal QA Review: Draft Requirements Management Plan	Wed 12/17/14	Tue 12/23/14
147		**Submitted: Draft Requirements Management Plan**	**Tue 12/23/14**	**Tue 12/23/14**
148		Commonwealth Review: Draft Requirements Management Plan	Fri 12/26/14	Mon 1/12/15
149		Finalize: Draft Requirements Management Plan	Fri 12/26/14	Tue 1/20/15
150		**Submitted: Final Requirements Management Plan**	**Tue 1/20/15**	**Tue 1/20/15**
151		Commonwealth Review: Final Requirements Management Plan	Wed 1/21/15	Tue 1/27/15
152		**Approved: Final Requirements Management Plan**	**Tue 1/27/15**	**Tue 1/27/15**
153		**Requirements Gathering & Gap Analysis**	**Mon 11/17/14**	**Thu 6/4/15**
154		Requirements Planning	Wed 1/21/15	Tue 1/27/15
155		Requirements Kickoff	Wed 1/28/15	Thu 1/29/15
156		Highlevel Requirements Gathering	Fri 1/30/15	Tue 2/3/15
157		Functional Requirements Preparation	Wed 2/4/15	Tue 2/10/15
158		**Functional Requirements Gathering Sessions**	**Wed 2/11/15**	**Tue 4/7/15**
159		Conduct Benefits, Trust Fund Accounting, Appeals and UI Performs Functional Requirements Sessions	Wed 2/11/15	Tue 4/7/15
160		**Nonfunctional/Technical Requirements**	**Wed 4/8/15**	**Mon 4/20/15**
161		Gather Nonfunctional/Technical Requirements	Wed 4/8/15	Tue 4/14/15
162		Conduct Nonfunctional/Technical Requirements Review with L & I	Wed 4/15/15	Wed 4/15/15
163		Update Nonfunctional/Technical Requirements	Thu 4/16/15	Mon 4/20/15



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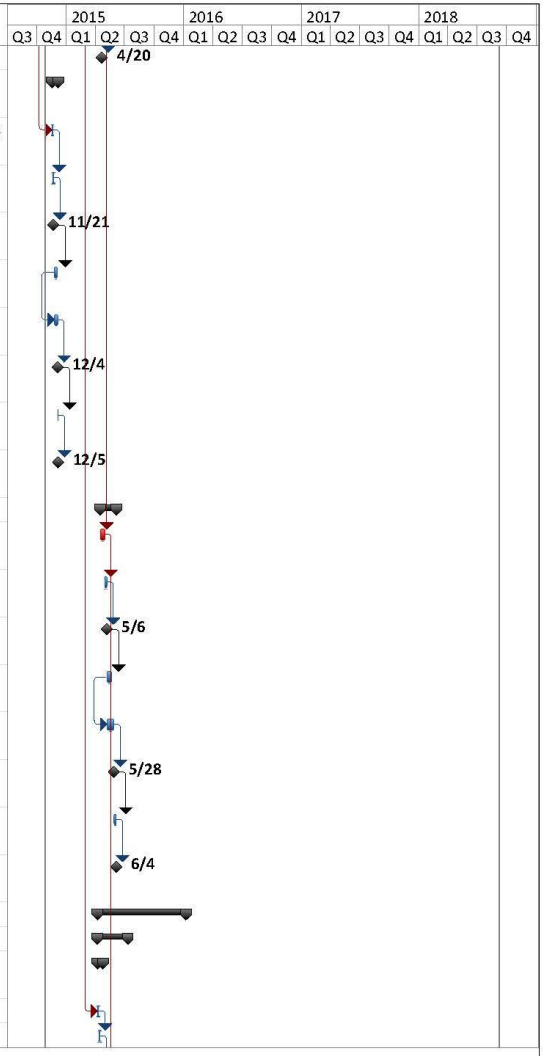
ID	Task Mode	Task Name	Start	Finish
164		**Submit Nonfunctional/Technical Requirements**	**Mon 4/20/15**	**Mon 4/20/15**
165		**Requirements Document and Traceability Matrix Deliverable Expectation Document**	**Mon 11/17/14**	**Fri 12/5/14**
166		Develop: Draft Requirements Document and Traceability Matrix Document DED	Mon 11/17/14	Wed 11/19/14
167		Internal QA Review: Draft Requirements Document and Traceability Matrix Document DED	Thu 11/20/14	Fri 11/21/14
168		**Submitted: Draft Requirements Document and Traceability Matrix Document DED**	**Fri 11/21/14**	**Fri 11/21/14**
169		Commonwealth Review: Draft Requirements Document and Traceability Matrix Document DED	Mon 11/24/14	Tue 12/2/14
170		Finalize: Draft Requirements Document and Traceability Matrix Document DED	Mon 11/24/14	Thu 12/4/14
171		**Submitted: Final Requirements Document and Traceability Matrix Document DED**	**Thu 12/4/14**	**Thu 12/4/14**
172		Commonwealth Review: Final Requirements Document and Traceability Matrix Document DED	Fri 12/5/14	Fri 12/5/14
173		**Approved: Final Requirements Document and Traceability Matrix Document DED**	**Fri 12/5/14**	**Fri 12/5/14**
174		**Requirements Document and Traceability Matrix Document**	**Thu 4/16/15**	**Thu 6/4/15**
175		Develop: Draft Requirements Document and Traceability Matrix Document	Thu 4/16/15	Wed 4/29/15
176		Internal QA Review: Draft Requirements Document and Traceability Matrix Document	Thu 4/30/15	Wed 5/6/15
177		**Submitted: Draft Requirements Document and Traceability Matrix Document**	**Wed 5/6/15**	**Wed 5/6/15**
178		Commonwealth Review: Draft Requirements Document and Traceability Matrix Document	Thu 5/7/15	Wed 5/20/15
179		Finalize: Draft Requirements Document and Traceability Matrix Document	Thu 5/7/15	Thu 5/28/15
180		**Submitted: Final Requirements Document and Traceability Matrix Document**	**Thu 5/28/15**	**Thu 5/28/15**
181		Commonwealth Review: Final Requirements Document and Traceability Matrix Document	Fri 5/29/15	Thu 6/4/15
182		**Approved: Final Requirements Document and Traceability Matrix Document**	**Thu 6/4/15**	**Thu 6/4/15**
183		**Solicitation & Procurement**	**Wed 4/8/15**	**Thu 1/7/16**
184		**Statement of Work**	**Wed 4/8/15**	**Fri 7/10/15**
185		**Statement of Work and Appendices Deliverable Expectation Document**	**Wed 4/8/15**	**Fri 4/24/15**
186		Develop: Draft SOW and Appendices DED	Wed 4/8/15	Fri 4/10/15
187		Internal QA Review: Draft SOW and Appendices DED	Mon 4/13/15	Tue 4/14/15



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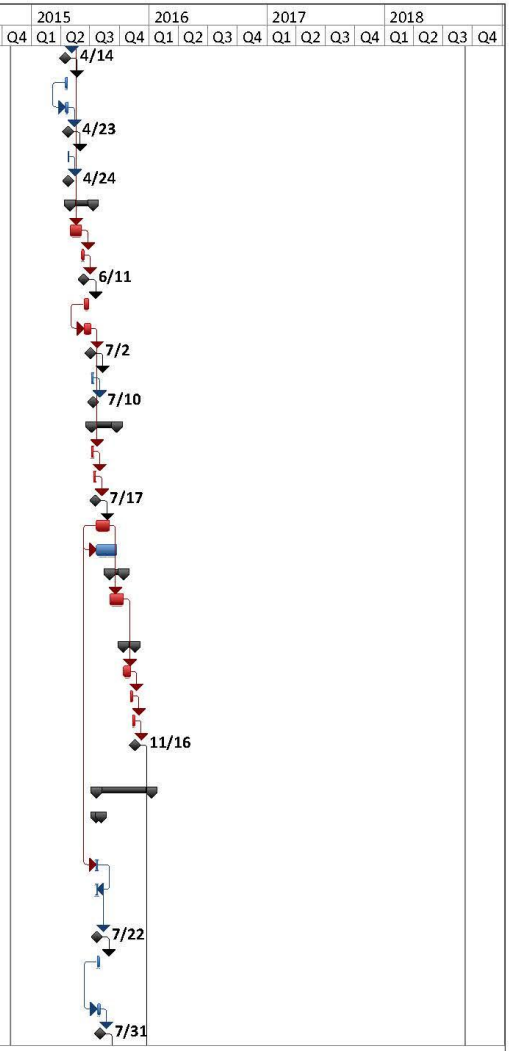
ID	Task Mod	Task Name	Start	Finish
188		**Submitted: Draft SOW and Appendices DED**	**Tue 4/14/15**	**Tue 4/14/15**
189		Commonwealth Review: Draft SOW and Appendices DED	Wed 4/15/15	Tue 4/21/15
190		Finalize: Draft SOW and Appendices DED	Wed 4/15/15	Thu 4/23/15
191		**Submitted: Final SOW and Appendices DED**	**Thu 4/23/15**	**Thu 4/23/15**
192		Commonwealth Review: Final SOW and Appendices DED	Fri 4/24/15	Fri 4/24/15
193		**Approved: Final SOW and Appendices DED**	**Fri 4/24/15**	**Fri 4/24/15**
194		**Statement of Work and Appendices**	**Thu 4/30/15**	**Fri 7/10/15**
195		Develop: Draft SOW and Appendices	Thu 4/30/15	Thu 6/4/15
196		Internal QA Review: Draft SOW and Appendices	Fri 6/5/15	Thu 6/11/15
197		**Submitted: Draft SOW and Appendices**	**Thu 6/11/15**	**Thu 6/11/15**
198		Commonwealth Review: Draft SOW and Appendices	Fri 6/12/15	Thu 6/25/15
199		Finalize: Draft SOW and Appendices	Fri 6/12/15	Thu 7/2/15
200		**Submitted: Final SOW and Appendices**	**Thu 7/2/15**	**Thu 7/2/15**
201		Commonwealth Review: Final SOW and Appendices	Mon 7/6/15	Fri 7/10/15
202		**Approved: Final SOW and Appendices**	**Fri 7/10/15**	**Fri 7/10/15**
203		**Solicitation Package Support**	**Mon 7/6/15**	**Mon 9/21/15**
204		Integrate SOW and Appendices Into Solicitation Package	Mon 7/6/15	Fri 7/10/15
205		Commonwealth Review of Final Solicitation Package	Mon 7/13/15	Fri 7/17/15
206		**Solicitation Package Finalized by Commonwealth**	**Fri 7/17/15**	**Fri 7/17/15**
207		Procurement Publishes Solicitation Package	Mon 7/20/15	Fri 8/28/15
208		Provide Procurement Publication Support	Mon 7/20/15	Mon 9/21/15
209		**Solicitation and Procurement Support (Vendor Selection)**	**Mon 8/31/15**	**Mon 10/12/15**
210		Provide Subject Matter Expertise to the Commonwealth for Vendor Selection	Mon 8/31/15	Mon 10/12/15
211		**Negotiation Support**	**Tue 10/13/15**	**Mon 11/16/15**
212		Assist with Negotiation Activities	Tue 10/13/15	Mon 11/2/15
213		Update Solicitation and Negotiation Documents	Tue 11/3/15	Mon 11/9/15
214		Review Final Solicitation and Negotiation Documents	Tue 11/10/15	Mon 11/16/15
215		**Solicitation and Negotiation Documents Finalized by the Commonwealth**	**Mon 11/16/15**	**Mon 11/16/15**
216		**Finalized Documents for Contract**	**Mon 7/20/15**	**Thu 1/7/16**
217		**Finalized Documents for Contract Deliverable Expectation Document**	**Mon 7/20/15**	**Mon 8/3/15**
218		Develop: Draft Finalized Documents for Contract DED	Mon 7/20/15	Wed 7/22/15
219		Internal QA Review: Draft Finalized Documents for Contract DED	Tue 7/21/15	Wed 7/22/15
220		**Submitted: Draft Finalized Documents for Contract DED**	**Wed 7/22/15**	**Wed 7/22/15**
221		Commonwealth Review: Draft Finalized Documents for Contract DED	Thu 7/23/15	Wed 7/29/15
222		Finalize: Draft Finalized Documents for Contract DED	Thu 7/23/15	Fri 7/31/15
223		**Submitted: Final Finalized Documents for Contract DED**	**Fri 7/31/15**	**Fri 7/31/15**



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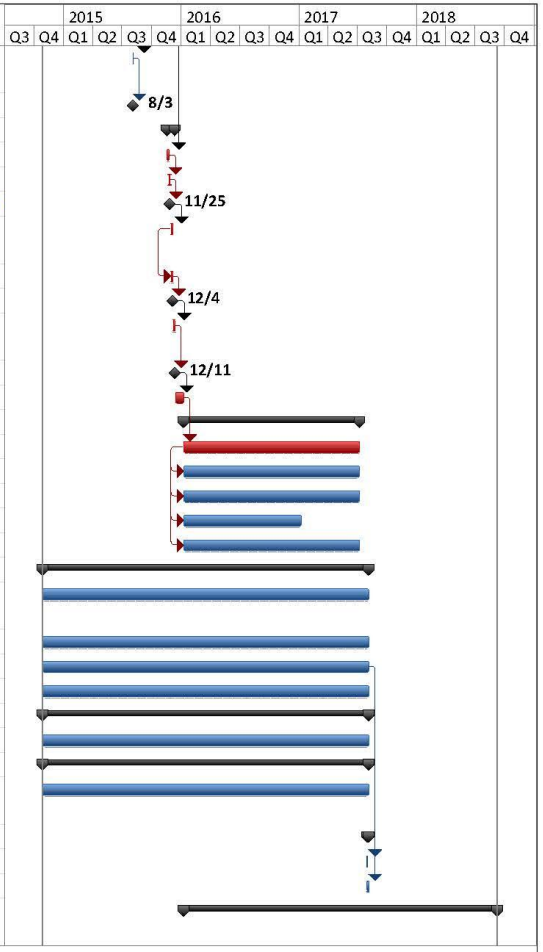
ID	Task Mode	Task Name	Start	Finish
224		Commonwealth Review: Final Finalized Documents for Contract DED	Mon 8/3/15	Mon 8/3/15
225		**Approved: Final Finalized Documents for Contract DED**	**Mon 8/3/15**	**Mon 8/3/15**
226		**Finalized Documents for Contract**	**Tue 11/17/15**	**Fri 12/11/15**
227		Develop: Draft Finalized Documents for Contract	Tue 11/17/15	Mon 11/23/15
228		Internal QA Review: Draft Finalized Documents for Contract	Tue 11/24/15	Wed 11/25/15
229		**Submitted: Draft Finalized Documents for Contract**	**Wed 11/25/15**	**Wed 11/25/15**
230		Commonwealth Review: Draft Finalized Documents for Contract	Mon 11/30/15	Fri 12/4/15
231		Finalize: Draft Finalized Documents for Contract	Mon 11/30/15	Fri 12/4/15
232		**Submitted: Final Finalized Documents for Contract**	**Fri 12/4/15**	**Fri 12/4/15**
233		Commonwealth Review: Final Finalized Documents for Contract	Mon 12/7/15	Fri 12/11/15
234		**Approved: Final Finalized Documents for Contract**	**Fri 12/11/15**	**Fri 12/11/15**
235		Commonwealth Contract Approval Process	Mon 12/14/15	Thu 1/7/16
236		**Implementation Support**	**Fri 1/8/16**	**Fri 7/7/17**
237		UC Benefits Replacement System Implementation	Fri 1/8/16	Fri 7/7/17
238		Provide Business Architect Implementation Support	Fri 1/8/16	Fri 7/7/17
239		Provide Technical Architect Implementation Support	Fri 1/8/16	Fri 7/7/17
240		Provide Data Architecture/ETL Support	Fri 1/8/16	Fri 1/6/17
241		Policy Drafting and updates	Fri 1/8/16	Fri 7/7/17
242		**PMO Project Monitoring and Control**	**Mon 10/27/14**	**Fri 8/4/17**
243		Perform Project Management Activities, Status Reporting and Status Meetings (Weekly)	Mon 10/27/14	Fri 8/4/17
244		Review and Update Project Management Plan (Monthly)	Mon 10/27/14	Fri 8/4/17
245		Review and Update Deliverable Assessment Report (Monthly)	Mon 10/27/14	Fri 8/4/17
246		Technical Advisor Support	Mon 10/27/14	Fri 8/4/17
247		**Bi-Weekly Directors Briefing**	**Mon 10/27/14**	**Fri 8/4/17**
248		Conduct and Document Bi-Weekly Directors Briefing	Mon 10/27/14	Fri 8/4/17
249		**Monthly Executive Steering Committee Meetings**	**Mon 10/27/14**	**Fri 8/4/17**
250		Conduct and Document Monthly Executive Steering Committee Meetings	Mon 10/27/14	Fri 8/4/17
251		**PMO Project Closeout**	**Mon 7/31/17**	**Fri 8/4/17**
252		Conduct Lessons Learned Session	Mon 7/31/17	Mon 7/31/17
253		Archive Project Library	Mon 7/31/17	Fri 8/4/17
254		**PA UC Benefits Modernization Implementation Oversight (Optional Service)**	**Fri 1/8/16**	**Fri 9/7/18**



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Risk Management Plan

CSG understands it is important for the success of the UC Benefits Modernization Project that all project team members are able to identify, understand, anticipate, and manage risks. Honest and open communication is one of the most important elements of the risk management process. CSG Project Managers have extensive experience in leading risk management efforts, sponsoring risk identification activities, and facilitating communication throughout the execution of the risk management process. By engaging the entire project team with the risk analysis process, the DDI Contractor and the CSG Project Manager are able to discuss perceived and real threats to the project and overall organization.

The CSG Project Manager coordinates with the L&I Project Manager on the UC Benefits Modernization Project, and additionally with the DDI Contractor during the implementation phase to conduct risk analysis of project activities, strategies, and products, and documenting findings in issue and strategy papers that outline risks, costs, and benefits. We prepare for the four major categories of risk, defined in the Project Management Institute's Project Management Body of Knowledge (PMBOK®) Guide. These categories are:

- Technical, quality, or performance risks
- Project management risks
- Organizational risks
- External risks

For the UC Benefits Modernization Project, CSG integrates the DDI vendor Risk Management Plans into the comprehensive UC Benefits Modernization Risk Management Plan (RMP) that clearly describes and explains the approach and processes through which risks are managed throughout the life of the project. The RMP is then included as part of the overall Project Management Plan (PMP). The Consolidated Risk Management Plan is maintained by the CSG Project Manager. CSG will utilize Risk Management tool that is part of TeamCSG℠ Project Tracker described below in this section.

A unified risk management process helps the Commonwealth anticipate and respond to emerging risks throughout the duration of the project. Because the natures of risks often change during the project lifecycle, executing risk management processes occurs throughout all phases of the project: from planning through execution and close-out.

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Risk Management Approach

Figure 9: Risk Management Approach

The CSG Project Manager manages risks as part of a continuous process. The project risk management approach embodies four processes:

- **Risk Identification** – determining which risks might affect the project
- **Risk Analysis** – prioritizing risks and assessing the probability and consequence of risks
- **Risk Response Planning** – preparing action plans to enhance opportunities or minimize threats to the project
- **Risk Monitoring** – executing action plans and evaluating their effectiveness, tracking and reviewing residual risks, and identifying any new risks

Risk management is concerned with not only identifying risks and communicating their existence, but with reducing those risks to an acceptable level in terms of scope, time, and cost. By directly interfacing with all project managers and stakeholders throughout the life of the UC Benefits Modernization Project, the CSG Project Manager develops relationships and information conduits through which risks and issues can be freely and promptly identified and shared. During the Implementation Phase of the project, the L&I Project Manager and DDI Contractor Project Manager are included in the risk analysis process so that both Project Managers and the CSG PMO Team are able to discuss perceived and real threats to the project and the overall organization.

The figure below illustrates the major activities associated with the key risk management process:

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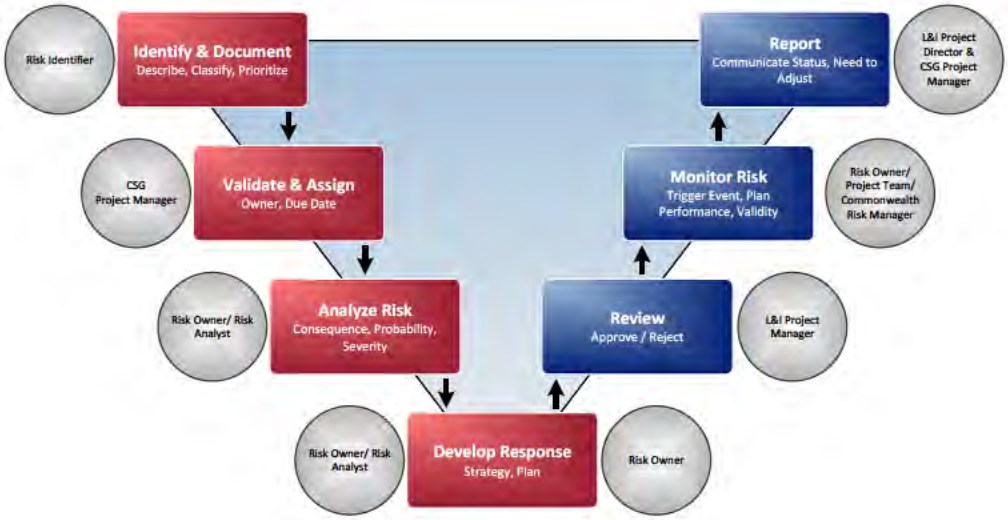

Figure 10 – Risk Management Process

Risk Identification

As each phase of the project life cycle is initiated, the CSG Project Managers, in collaboration with the other PMO project managers, identify and review all risks associated with the current phase. Under the guidance of the PMO, these risks are subsequently reviewed with the project team. As a result, there is a thorough understanding of existing risks and insight into the following subjects:

- Risks from the perspective of various stakeholders, including the Executive Steering Committee members, L&I Project Sponsor, L&I Project Manager, and DDI Contractor Project Manager
- Initial sense of the consequence, probability, and priority of each risk associated with the project
- Triggers for each risk – risk triggers are the event, measurement, scenario, or occurrence that causes a risk "To-Be"come a concern or issue

New risks are identified as more information becomes available, and other risks are eliminated because of internal or external influences or specific planned actions. Throughout the life of the project, the CSG Project Manager conducts formal periodic risk identification meetings for the duration of the UC Benefits Modernization Project. All project status meetings include a topic for discussion of possible risks.

- **Document the Risk:** All identified risks are documented, gathered, and captured in a comprehensive Risk Management Register. The Risk Management Register describes the risk, and indicates the concern, probability, possible positive or negative consequences of the risk, and designates a priority. The description also includes the impacts to stakeholders, assumptions, constraints, relationship to other project risks,

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issues or activities, possible alternatives, and impacts to the project budget, schedule, scope, or quality.

- **Risk Validation and Ownership:** The CSG Project Manager is responsible for coordinating the review and validation of the candidate risks with the project team, including determining if the risk should be considered sensitive or confidential and, if appropriate, consulting legal personnel on the wording of the risk. A risk may not be valid because it is not actually a risk or is already included in another risk. If the project team determines a risk is not valid, the team will confer with the individual who raised the risk before closing a non-valid risk. Invalid risks remain in the database throughout the life of the project, marked as closed with a comment explaining the closure. The CSG Project Manager assigns a Risk Owner for each validated risk. Risk ownership is assigned to a member of the UC Benefits Modernization Project Team when possible; however, it may be necessary to assign an individual from any sector of the organization, depending upon the nature of the risk.

Risk Analysis

The purpose of risk analysis is to prioritize and estimate project risk in terms of understanding the probability and consequence of each risk. CSG's risk analysis process provides for an assessment of each risk and a priority assignment based on objective analysis of its characteristics. The CSG Project Manager interfaces with L&I Project Manager and appropriate vendors on the UC Benefits Modernization Project to conduct detailed analysis of identified risks, risk background and alternatives, and recommend courses of action. Such analysis shall include assessment of probability of risk, assessment of impact of risk, identification of alternative strategies, assessment of risks, costs and benefits of each alternative, and recommendation.

When project managers and stakeholders identify risks, our risk analysis methods assist in determining the impacts to the project, and thus establish management priorities. During the risk analysis step, the stakeholders perform the following activities:

- **Prioritize** the individual risks against the project objectives, using a rating scale such as high, medium, and low.
- Estimate the **Risk Consequence:** For each risk, the Risk Owner considers the possible consequence and impact on the project if the specific risk occurs and a consequence rating from 1-3 is assigned.
- Estimate the **Risk Probability:** For each risk, the Risk Owner and Risk Analyst determine the probability the risk will occur. Likewise, a probability rating from 1-3 is assigned.
- Calculate the **Overall Risk Ranking:** An overall risk ranking based on the probability and consequence of a risk on a scale of one to nine is calculated, with nine being the most severe. Based on the probability and consequence levels. The Overall Risk Ranking Matrix enables the CSG Project Managers to categorize and rank risks according to potential overall risk to the project.

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The graphic below provides the Overall Risk Ranking Matrix and definitions for ranking risk.

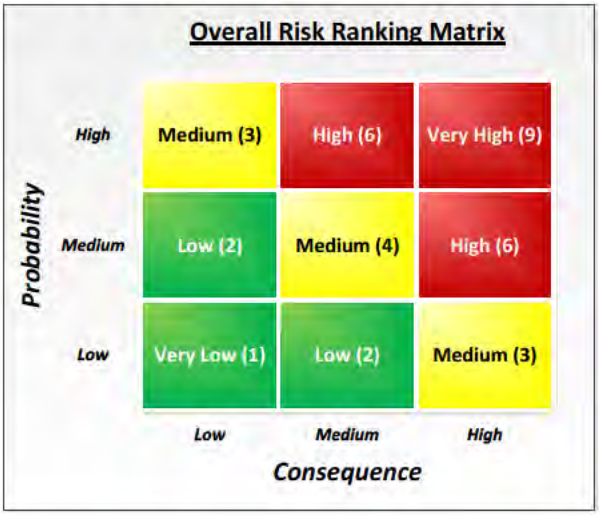

Figure 11: Overall Risk Ranking Matrix

The formula used to calculate overall risk ranking is: *Overall Risk Ranking = Probability x Consequence.*

The table below provides the definitions for overall risk ranking based on calculation.

Risk Ranking (RR)	Overall Risk Level	Approach
RR < 3	Very low or low risk level	Project team monitors risk but will not invest significant resources into response planning.
3 < RR < 6	Medium risk level	A risk response plan will be prepared for implementation in case the risk increases in probability or consequence.
RR > 6	High or very high risk level	Immediate action will be taken to implement the risk response plan.

The Risk Owner uses the Overall Risk Ranking Matrix to decide which risks pose the greatest overall risk to the project and require plans "To-Be" developed and implemented for the risk. Each valid risk receives a documented risk response strategy and plan.

Risk Response Strategies and Planning

Risk response plans help identify risk management activities used to reduce, contain, and otherwise control project risk, and subsequently, project scope, schedule, and cost. The CSG Project Manager conducts risk and issue reviews to advise on the effectiveness of existing mitigation strategies in addressing the identified risks and issues by interfacing with all project team members.

The CSG Project Manager interfaces with the L&I Project Manager on the UC Benefits Modernization Project and documents mitigation strategies and approaches for each

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documented risk. One of the process goals is to establish clear, across-the-board understanding of the risk management process, as well as the status of individual risks. The risk response plan is developed once an appropriate risk response strategy is determined. The risk response strategies are defined below.

- **Risk Response Strategies:** Risk meeting participants discuss and identify a Risk Response Strategy for each valid risk. The Risk Owner documents a risk response strategy for each risk.

  There are four types of risk response strategies used to manage project risk:

  - ✓ **Avoidance** is changing the Project Plan to eliminate the threat of a specific risk event, if possible.
  - ✓ **Transference** is shifting some or all of the negative impact of a threat, along with ownership of the risk, to a third party. Transferring the risk simply gives another party responsibility for its management.
  - ✓ **Mitigation** is deciding to lessen the probability that the risk will occur or lessening the impact if the risk does occur. Without early identification and planning, this risk response option may not be available.
  - ✓ **Acceptance** is agreeing to accept the consequences and impact of a risk occurrence. Active acceptance involves preparing a plan (schedule or budget) or identifying workarounds for the risk event. Conversely, passive acceptance simply involves monitoring until a risk event occurs and then dealing with the result after-the-fact.

Avoidance and mitigation are preventative-type risk response strategies because a stakeholder has the option to execute an alternative plan of action. These types of strategies may partially or entirely eliminate an identified risk. Transference or acceptance does not attempt to eliminate the risk itself. Rather, these strategies may allow the risk to occur. Transference simply deflects the risk to an outside party, active acceptance allows for budget reserves or schedule expansion to absorb the impact.

Risk Response Plan

The Risk Owner documents a risk response plan as required that addresses what to do if the risk occurs and how to minimize the impact, or the actions needed to transfer, avoid, or accept a risk. A risk response plan includes:

- Trigger (i.e., when should the plan be implemented)
- Actions “To-Be” taken
- Cost, Timeline, and Resources needed
- Expected impact of the actions

Regardless of the type of response, the project team must evaluate the anticipated consequence against the cost of implementing a risk response plan for each risk. This evaluation must be documented with supporting material. Once the Risk Owner completes the

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risk analysis, the risk meeting participants can evaluate a prioritized listing of risks in terms of cost or time (project delays).

Risk Monitoring

Risk management is an ongoing process that is continued throughout the project life cycle. CSG tracks and captures all risks in *TeamCSG℠ Project Tracker*. On a regular basis, the CSG Project Manager conducts risk and issue reviews and advises on the effectiveness of existing mitigation strategies in addressing the identified risks and issues by interfacing with the L&I Project Manager on the UC Benefits Modernization Project. In addition to detail or summary reports generated through the tool and utilized during regular risk monitoring discussions, the CSG Team generates a narrative risk analysis report on a monthly basis.

Once a stakeholder realizes a risk exists, the project team executes the appropriate risk response plan. If necessary, the Project Plan is updated, rescheduled, and re-baselined to reflect the approved action plans and submitted to the L&I Project Manager for approval. The stakeholders then evaluate the risk response plan to determine the effectiveness of the plan or if an issue should be identified and logged for analysis and response. Risk monitoring is a wait and watch period in the risk management cycle to determine the following:

- Has a trigger event occurred (that has triggered the risk)?
- Has the trigger event expired (it is no longer possible that this risk will happen)?
- Is the risk response plan working?
- Is the risk still a possibility and valid for the project?

The Risk Owners and the CSG Project Manager are continually monitoring risk during the life of the project to assess and control uncertainties that may result in undesirable consequences.

The Risk Owner manages and monitors:

- Individual assigned risk
- Overall risk level to determine when the risk response plan should be implemented
- The effectiveness of an implemented risk response plan
- Whether the risk response plan needs “To-Be” adjusted or the risk turned into an issue

The Risk Owner and the CSG Project Manager assess and monitor:

- When risk response plans need “To-Be” activated (if the owner has not already taken action)
- When a risk has become an issue (if the owner has not already taken action)
- When the cumulative impact of the risks creates a situation that requires action

Risk meetings are conducted periodically to analyze anticipated risks and proposed risk response strategies and plans, assess whether the executed plan was successful, evaluate if a risk should be closed, or determine when a risk should be submitted as an issue (i.e., once a risk

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has been realized and it has become an issue that needs "To-Be" managed). The CSG Project Managers closes risks as appropriate.

The CSG Project Manager creates weekly and monthly status reports showing the risks being monitored (e.g., overall risk ranking > 3), any changes to those risks, what actions are being undertaken to remedy or alleviate the risk, and progress made toward the resolution and closure of the risk.

Risk Escalation Process

Risk meeting participants may agree to escalate a risk to the next level of determination. The CSG Project Manager and L&I Project Manager review the risk to determine if they are authorized to make a decision or need to submit a change request to address the risk, or escalate the risk to the Executive Steering Committee.

TeamCSG℠ Project Tracker Risk Management Tools

To ensure risks are identified, planned for, managed if they occur, and reported on, CSG employs the *TeamCSG℠ Project Tracker* to assist in both the tracking and communication of project risks. *TeamCSG℠ Project Tracker* is an easy-to-use project management tool that provides powerful tracking and reporting capabilities for controlling scope, issues, risks, and changes throughout the project life cycle. CSG utilizes this project risk tracking tool to provide an automated means of tracking risks and their related action items throughout the duration of the project. Risks can be exported to Excel for communication purposes.

Risk Form

The figure on the following page provides a screen shot of the *TeamCSG℠ Project Tracker* Risk Form.

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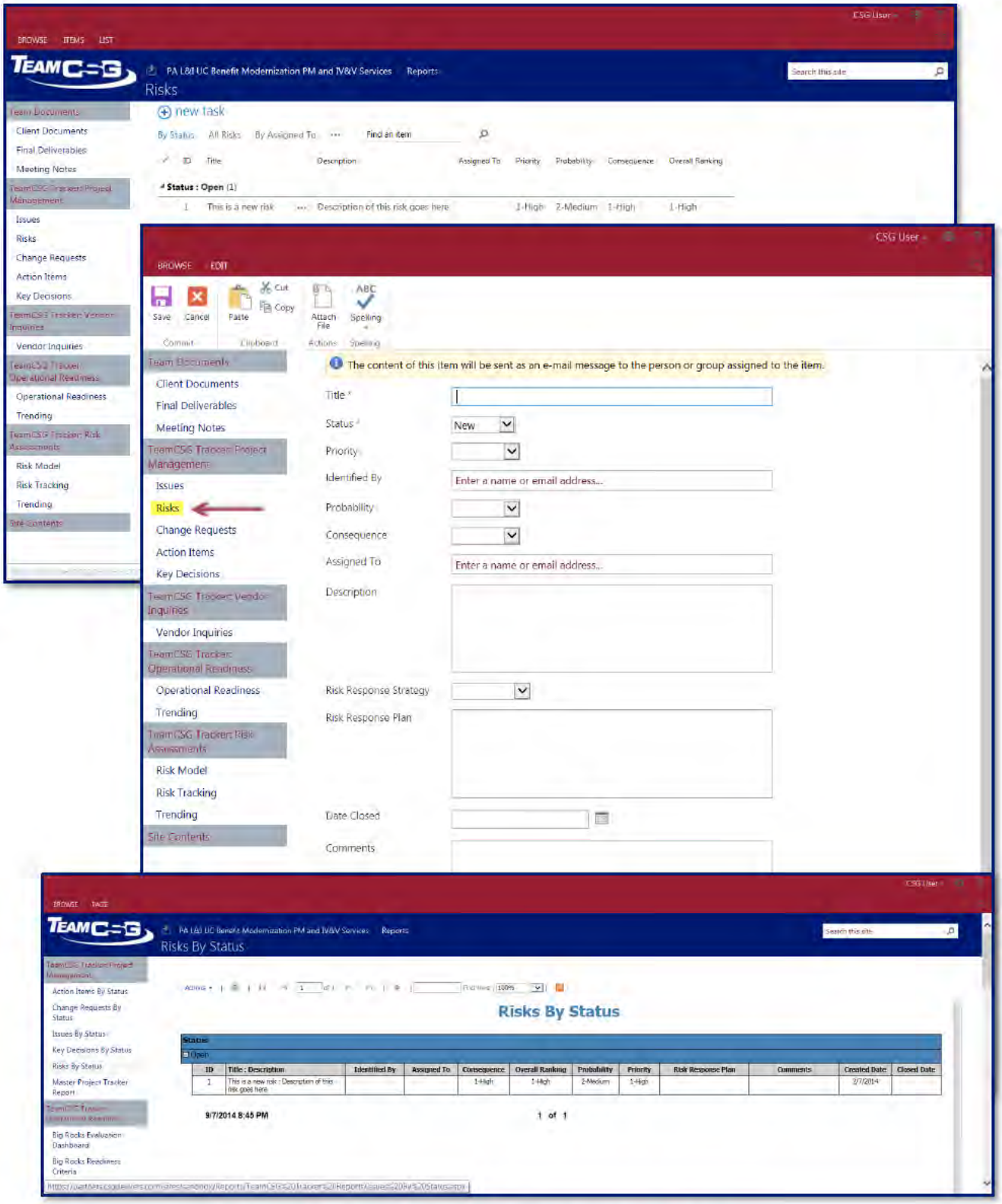

Figure 12: *TeamCSG℠ Project Tracker* Risk Landing Page (top) new risk form (middle) and Risks by Status log (bottom). Our Risk Logs can be exported to multiple formats, including Microsoft Excel, and Adobe PDF.

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Issue Management Plan

There is great similarity in the overall CSG management approaches of risks and issues. An issue is any matter which has or will affect the work of the project, such as an anticipated or unforeseen risk that has happened and affects the ability of the UC Benefits Modernization Project to deliver the agreed upon system or work products. Issues are not the same as problems, queries, or errors discovered during development work and testing. Any project team member engaged on the project who believes there is an issue that may affect the project's success can identify an issue. Technical issues or business issues may be more evident than organizational or training issues, yet all may have a profound impact on the UC Benefits Modernization Project. The issue management process helps reduce the danger of scope creep and work delays, keeping the UC Benefits Modernization Project on track for meeting deadlines and mitigating issues.

Our issue resolution approach provides a proven process for managing issues within a set of specific project control procedures. CSG follows a standard and proven method for logging and categorizing issues, researching solutions, as well as communicating options and final recommendations. Active participation is a critical enabler to making timely decisions and moving forward past project road blocks. The buy-in of the UC Benefits Modernization Project Team, key business owners, and technical staff is critical to the success of a project and ensuring that the team delivers a product in line with the project goals. Key features of our issues management process include:

- **Issue Capture and Documentation:** The UC Benefits Modernization Project Team and CSG PMO Project Manager review, document, and track each potential issue and validate all required information is provided by the Issue Identifier. Identifying and documenting issues for discussion, review, updating, tracking, and retrieval.

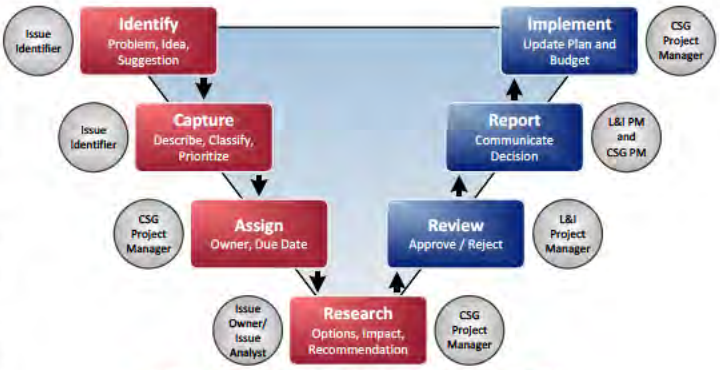

Figure 13: Issue Management Process

- **Ownership and Escalation:** Assigning an owner to issues and escalating if needed for a higher level of input or decision-making using due date, priority, or impact of the issue.

  Every issue has an originator and an owner. Once the Issue Owner receives notification of having been assigned an issue, the Issue Owner may research it or delegate the task to an Issue Analyst (e.g., business, technical, or quality assurance analyst). Issue

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research includes, as appropriate, researching best practices, meeting with technical experts and outside product contractors, and interviewing subject matter experts (SMEs). The objective of all the research is to identify options and make a clear recommendation for a course of action. The primary owner is held accountable for driving out a resolution to the issue by the expected due date.

The processes for determining issue severity and priority and overall ranking closely follow those for risk management. Issues are generally escalated using due date, priority, impact (estimated hours), date added, date modified, and date completed fields to report on and facilitate timely resolution of issues. Issues that are not being resolved in a timely fashion can be escalated using the "priority" field and highlighted in the project status reports and information distribution communication. Our escalation method is based on project dependencies and expert judgment. We assign due dates to issues based on importance and impact of the issue.

- **Research:** Researching, identifying options, and making a clear recommendation to effectively address an issue. If an issue results in the need for a change request, the CSG PMO Project Manager follows the process outlined in the Change Control Management Plan for creating and approving a change request.
- **Review and Reporting:** Reviewing and reporting on issues to effectively track and approve or reject a clearly-stated recommendation through resolution and closure. Issues management reporting via status reporting is an important part of the Communications Management Plan.
- **Implementation:** Updating the project plan with new tasks and resources to reflect the activities needed to address an issue and then ensuring the needed activities occur to resolve the issue.

CSG's Issue Management Approach is intentionally inclusive, meaning that the UC Benefits Modernization project management team and other key project team stakeholders are encouraged to participate. Active participation is a critical enabler to making timely decisions and moving forward past project road blocks. Our experience shows that the buy-in of UC Benefits Modernization project managers, key business owners, and technical staff is critical to the success of a project and making sure we deliver a product that is in line with your goals.

TeamCSG℠ Project Tracker Issue Management Tools

To ensure issues are identified, planned for, managed if they occur, and reported on, CSG employs the *TeamCSG℠ Project Tracker* to assist in both the tracking and communication of project issues. *TeamCSG℠ Project Tracker* is an easy-to-use project management tool that provides powerful tracking and reporting capabilities for controlling scope, issues, risks, and changes throughout the project life cycle. CSG utilizes this project issue tracking tool to provide an automated means of tracking issues and their related action items throughout the duration of the project.

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The figure below provides a screen shot of the *TeamCSG℠ Project Tracker* issue landing page, form and issue log.

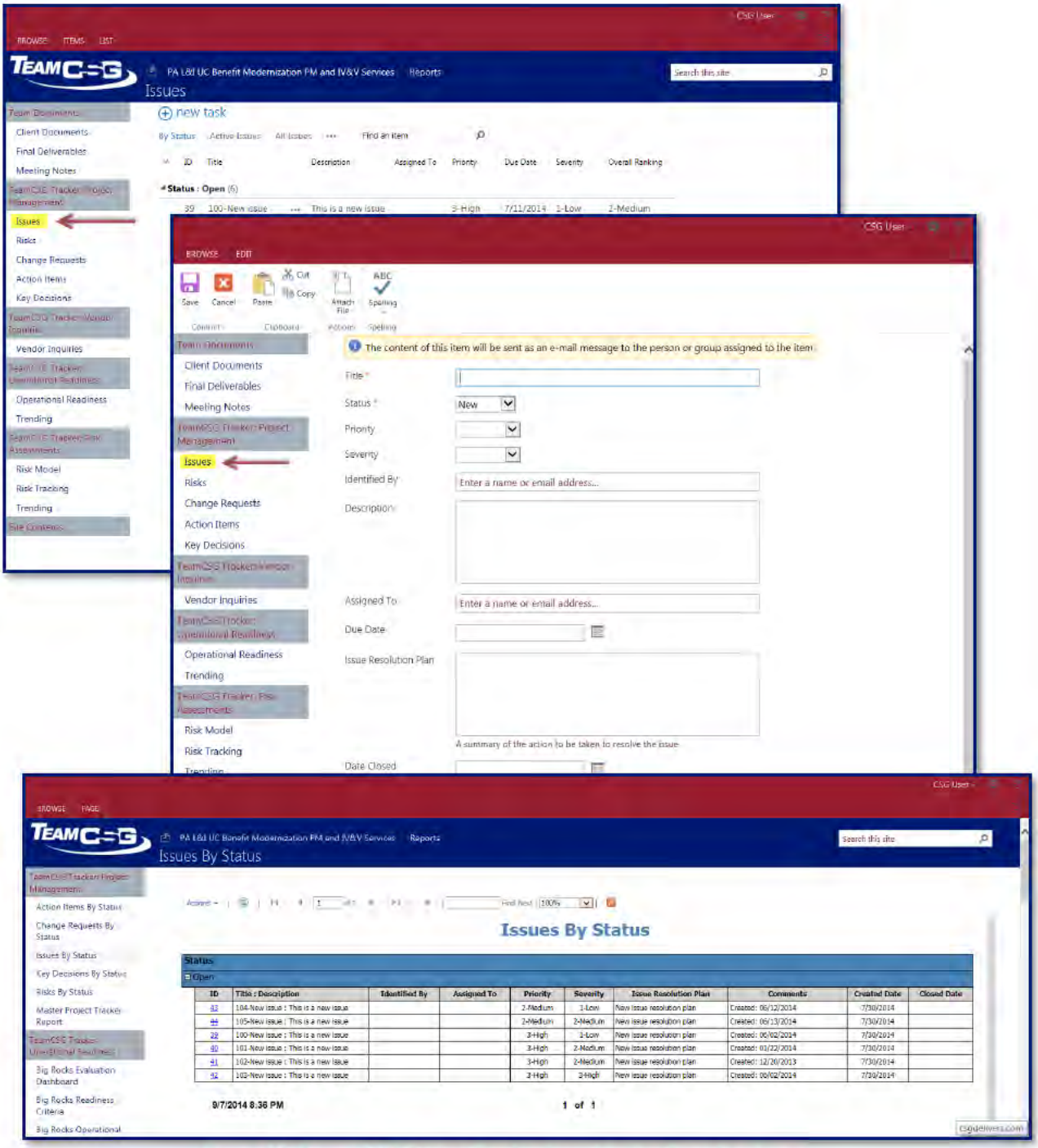

Figure 14: *TeamCSG℠ Project Tracker* Issue Landing Page (top) new issue form (middle) and Issues by Status log (bottom). Our Issue Logs can be exported to multiple formats, including Microsoft Excel, and Adobe PDF.

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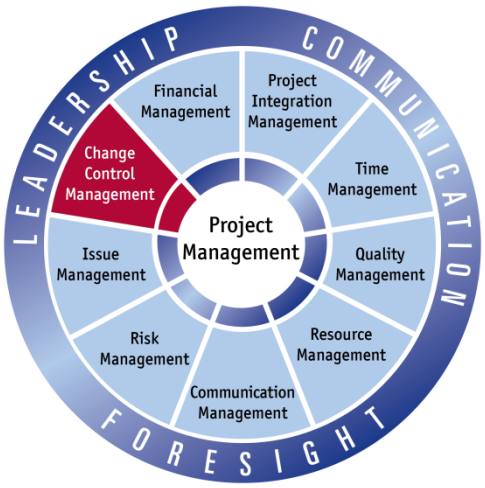
Change Control Management Plan

Change control management is the process of ensuring that throughout the project life cycle, the project team identifies, documents, communicates, receives, tracks, assesses, decides, and implements modifications to the project. CSG implements a disciplined Change Control Management Plan to enforce best practices for managing change requests. All changes are managed using the change control process approved by L&I. CSG will also utilize the TeamCSG℠ Project Tracker change management tool to support identification, management, and reporting of project change requests. Our approach to change management and the how we utilize the TeamCSG℠ Project Tracker change control management tool is described on the following pages.



Change Control Management Approach

The scope of change control management, as defined in the PMBOK®, includes integrated change control and scope change control. Change control management in the following are"As-Is" critical to the overall health of the project:

- Integrated change control (including budget) processes apply to changes to the project
- Scope change control processes govern changes to the deliverables produced over the course of the project

Key activities of the change management process include:

- **Change Request Identification and Capture** – We document and track project change requests, issues, ideas, suggestions, and concerns. Inevitably, items that are initially marked "As-Is"sues are at times determined "To-Be" change requests after analyzing the request against the approved charter. Scope change control is initiated whenever a change to the project scope (e.g., deliverables) has been requested. CSG provides an automated means of tracking change control management items from identification to implementation. In addition to *TeamCSG℠ Project Tracker* change management tool, the CSG PMO creates a custom Change Control Log to serve as an auxiliary repository of all change requests, their status and disposition, and tracking changes and updating of project documentation for those change requests for which approval was granted. A sample Change Control Log is provided in *Appendix B – Sample Deliverables*.
- **Ownership, Validation, and Escalation** – Change requests are assigned an owner (Change Request Owner) and tracked aggressively, escalating for a higher level of input or decision-making using due date, priority, severity, and impact of the requested change.

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- **Research** – The Change Request Owner on the project is responsible for assessing the change request. The analyst conducts analysis techniques including researching best practices, meeting with technical experts and outside product vendors, interviewing business experts, etc. The objective of all the research is to identify options and make a clear recommendation of and justification for a course of action. It is then up to the project management team to evaluate the recommendation and make a final decision on next steps.
  - ✓ Initiators of proposed changes are encouraged to complete an impact analysis to help the Change Control Board make determinations of scope of a requirement or technical change, impact on budget and schedule, and a justification of the benefits to the business.
  - ✓ An impact analysis is required to assess functions that must be added, changed, or deleted. An estimate-to-complete and associated cost must be calculated for all changes. CSG has developed a structured, proven approach for estimating the number of hours and workdays for a given task. We use a bottom-up detailed estimating approach. Using standard estimating factors for various types of work, the estimating tool automatically generates a total project estimate, complete with workday estimates at both detail and summary levels. The estimating factors that the tool uses are based on actual work efforts reported from other successful projects.
- **Review and Reporting** – CSG produces a variety of reports necessary for the project management team to effectively track and review change requests. Change control management reporting via status reporting is an important part of the Communication Management Plan. The CSG PMO, in collaboration with the L&I Project Manager, reviews all change requests, advises if the change is viable, and decides whether the request merits consideration by the Change Control Board. The change control reports address critical change control management metrics and provide project management an accurate view of the project with respect to the change control items.
- **Change Control Board (CCB)** – The CSG PMO works with the L&I Project Manager to establish a Change Control Board (CCB) that makes final determinations of scope and authorizes changes to that scope. In practice, the CCB members may also regularly participate on the issues management team. CSG has experience organizing and administering CCBs on all of our large complex projects. We coordinate and facilitate the Change Control Board meetings and processes with input from the L&I Project Sponsor. After the change request has been processed, meaning that the change request has been documented, researched, and the project management team has consensus on the recommendation, it is passed to the change control board for final approval/rejection.
- **Implementation** – If the CCB approves the change request, then the CSG PMO updates the WBS and re-baselines the new tasks and dependencies and new schedule

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milestones. The CSG PMO also updates the resource plan with additional staffing needs and revises the budget plan.

Change Control Areas

Integrated change control and scope change control are critical areas for change management and for the overall health of the project.

- **Integrated Change Control** – Integrated change control refers to changes to the project that result in changes to the project plan. These generally include changes to processes, such as adding more people to the issue management meeting or adding a second unplanned weekly issue or change management meeting. These additions impact the project's resources and must be accepted by project management and reflected in the Project Plan (i.e., WBS and project schedule), and Communication Management Plan, if appropriate.
- **Scope Change Control** – Scope change control is initiated whenever a change to the project scope (i.e., deliverables, Statement of Work) is requested. *The TeamCSG℠ Project Tracker* provides an automated means of tracking change management items from identification to implementation.

Change Request Process

Changes to the scope, schedule, or cost for the UC Benefits Modernization Project are documented using a formal change request process. Change requests are assigned an owner and tracked using the *TeamCSG℠ Project Tracker* change management tool to determine the effect, if any, of implementing the requested change on all other tasks delivered under the UC Benefits Modernization Project Contract.

Typically, stakeholders initiate a change request whenever there is a request for a modification to the project scope (i.e., deliverables, Statement of Work). Many events may trigger a change request, although typically they include changes to state and federal policy, industry standards, business partner data sets or systems, new or enhanced services or functionality, or changes in circumstances. The CSG PMO develops specifically tailored Change Management procedures in collaboration with the L&I Project Manager and the L&I Project Sponsor, to include how changes will be proposed, accepted, monitored, and controlled.

The figure on the following page provides a high-level view of the change request process defining the key roles and activities:

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Figure 15: Change Control Management Process

The UC Benefits Modernization Project change management process includes:

- Estimating the number of hours to complete, the associated cost, and the anticipated schedule impact of the change request
- Formally approving a change request to increase (or decrease) scope and authorize modifications to any UC Benefits Modernization Project contracts, schedules, and deliverable specifications
- Implementing changes to UC Benefits Modernization Project contracts, schedules, deliverable specifications, and scope of work through completion

CSG does not allow any change request provisions "To-Be" implemented until the appropriate parties have approved and signed off on the proposed changes. Once approved, the CSG PMO works with the UC Benefits Modernization Project Team to update the Project Management Plan and ensures the work is completed as described in the change request.

Change Request Identification and Capture

By definition, change requests affect the scope, schedule, or cost for a project. Change requests are often the result of previously identified issues or risks. A change request may be initiated from the issue and risk processes that require a change to budget, scope, schedule, or policy. The Change Initiator and Change Request Owner document and track the change request issues, ideas, suggestions, and concerns. The change request is documented in the *TeamCSG℠ Project Tracker* change management tool. The figure below provides a screen shot of the *TeamCSG℠ Project Tracker* Change Request Form.

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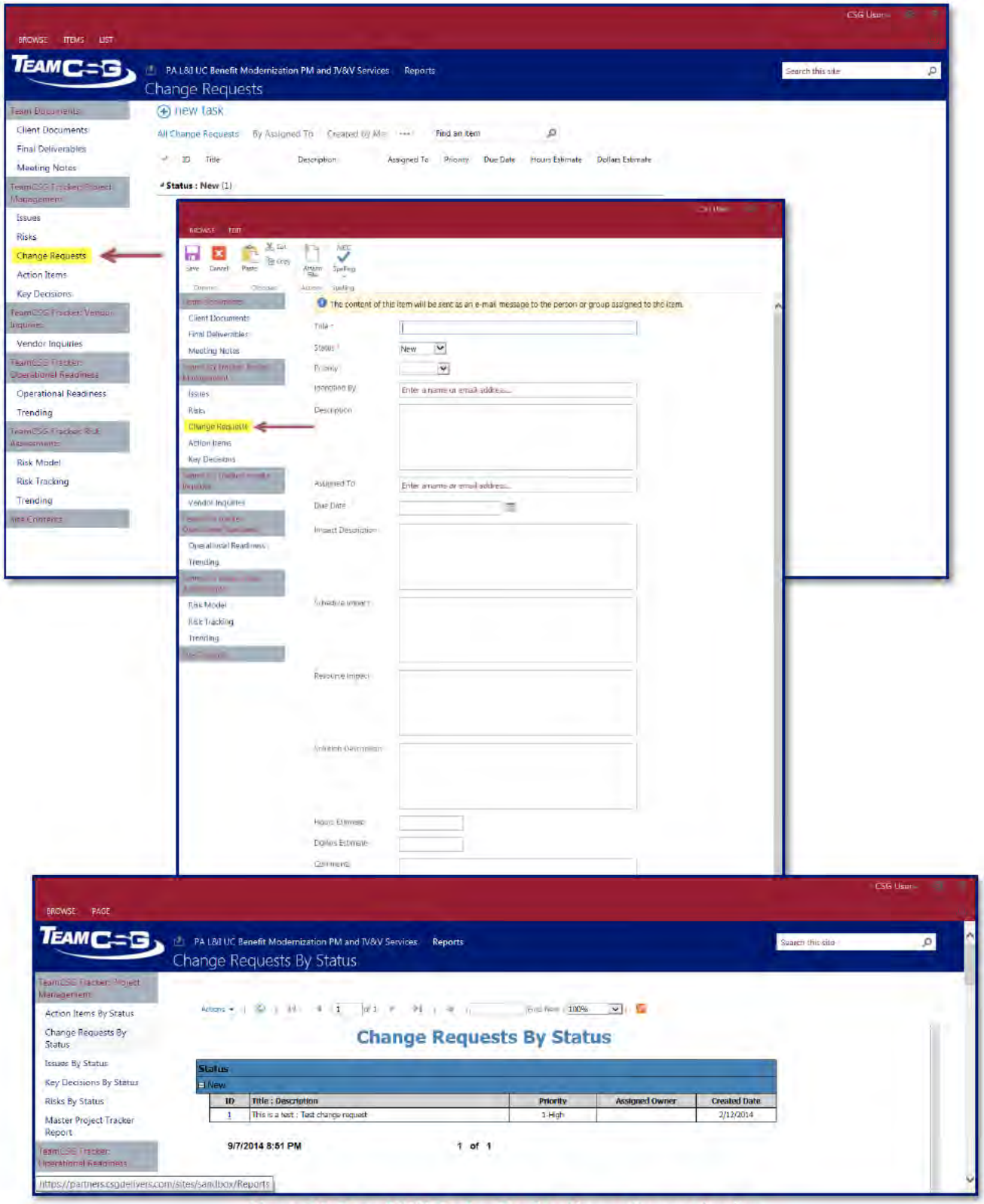

Figure 16: *TeamCSG℠ Project Tracker* Change Request landing page (top) new change request form (middle) and Change Requests by Status log (bottom). Our Issue Logs can be exported to multiple formats, including Microsoft Excel, and Adobe PDF.

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Ownership, Validation, and Escalation

Change requests are assigned an owner and tracked aggressively. The CSG PMO Project Manager and the L&I Project Manager review each potential change request and determine if it is valid. A change request may not be valid because it is not actually a change or it is already included in another change request. If the change request is valid, the CSG PMO Project Manager works with the L&I Project Manager to assign it a priority. The priority is used to determine if the change request requires escalating it to the attention of the L&I Project Sponsor.

The figure on the right provides the framework for the values of change request priority of Low, Medium, and High.

Figure 17: Change Request Priority Level

Change Request Analysis

The CSG PMO conducts an analysis of the proposed change in order to make a clear recommendation with justification for the course of action.

- **Research** – The CSG PMO is responsible for assessing the change request, researching best practices, meeting with technical experts and outside product vendors, and interviewing business experts, to gather the information needed to complete the change request analysis. Following the information gathering, the impact of the change is developed using a structured approach to estimating the number of hours and work days to complete a proposed change. CSG uses standard estimating factors for various types of work, for generating a total project estimate, completing work day estimates at both detail and summary levels.
- **Evaluation** – The objective of the change request is to clarify whether the request is for a technical change; has an impact on the scope, budget, or schedule; justifies the benefits to the business; identifies options; and makes a clear recommendation of and justification for a course of action. It is then up to the CSG PMO to evaluate the change and make recommendations on next steps to the L&I Project Manager.

Change Request Review and Reporting

The CSG PMO produces a variety of reports necessary for effectively tracking and reviewing a change request. The status of change requests, whether being developed or implemented, are reported in the project status reports.

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Change Control Board

The Change Control Board (CCB) is responsible for the final determination of modifications to the UC Benefits Modernization Project budget, schedule, or scope. It may approve, deny, or defer modifications for each change request based on the information provided.

If the CCB denies or defers a change request, the CSG PMO documents the reason and justification for not approving the change, records the CCB decision, and ensures appropriate communications are in place. The CSG PMO initiates the necessary contract amendments and monitors to ensure completion.

Implementation

The CCB makes a determination to approve, deny, or modify a change request. If the CCB approves the change request, the CSG PMO updates the Project Management Plan to establish a baseline with the new tasks and dependencies. The CSG PMO ensures the following are updated to reflect the change:

- **Project Plan:** The CSG PMO works with the L&I Project Manager to make changes to the UC Benefits Modernization Project Plans, both the WBS (Project Schedule) and milestones and schedule, to ensure all project team members understand the impacts of the change to the overall project.
- **Resources:** The CSG PMO works with the L&I Project Manager to update the staffing needs and training needs.
- **Budget:** The CSG PMO revises the budget.
- **Contract:** L&I ensures updates are made to the contract and Statements of Work to reflect the approved change.
- **Documentation:** The CSG PMO ensures appropriate signoffs occur, and that assignments are made to complete any changes to formal documentation such as training materials, system requirements, design documents, test cases, or software.

The change request remains open until all associated activities and tasks are complete.

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Communications Management Plan

CSG understands communication management is the foundation for a successful project. Our approach to communications management is based on a philosophy of "no surprises," which means that our project team provides clear, concise, timely, and accurate communications to project stakeholders and team members. The CSG PMO Project Manager creates a Communication Management Plan which defines and organizes the various communications that serves as a guide for communications throughout the life of the UC Benefits Modernization Project.

The primary objective of communication management is to ensure information disseminated to all internal and external stakeholders is relevant, timely, accurate, and consistent. Effective and open communication is critical to the success of the UC Benefits Modernization Project. Key communication objectives are to:

- Improve overall teamwork
- Ensure a consistent message
- Ensure cooperation and understanding among stakeholders
- Engage L&I staff to create enthusiasm and support for the modernized UC Benefits System
- Establish methods in which stakeholders can interact with the UC Benefits Modernization Project Team

Communication Management Approach

The purpose of the Communication Management Plan is to define the types of communication that are needed during the UC Benefits Modernization Project. Types of communication include intra-Team and larger group meetings, reports, presentations, deliverables, web sites, e-mail, and voice mail among others. The Communication Management Plan defines the frequency for the various types of communication, the intent of each, the participants, and documents generated from the communication.

The CSG PMO Project Team focuses on the following key principles throughout the duration of the project:

- **Focus on people** – Allows for effective and useful communication and attends to the responsibilities of the sender and receiver, as well as individual communication preferences.
- **Use an incremental approach** – Facilitates learning and change while building confidence and correcting problems.

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- **Attend to scope** – Maximizes the understanding of business, financial, and technical boundaries and uses them to the utmost advantage.
- **Employ an integrative process** – Provides for integration with other business processes (internal and external) to create an effective system for sharing information.
- **Address timing** – Allows for an understanding of time requirements and provides for processes that assure quality information is disseminated timely.

Communication Guiding Principles

CSG employs various methods of communications, including formal and informal, written and verbal, and ranging from non-technical to very technical. This section provides the guiding principles for communication delivery methods and practices. These help to provide messages that are accurate, clear, concise, and timely.

By effectively communicating with the stakeholders involved in this project, the UC Benefits Modernization Project Team can accomplish its work with the support and cooperation of each stakeholder. The following guiding principles apply to all stakeholder communications throughout the life of the UC Benefits Modernization Project:

- **Visible management support** – Active management commitment gives credibility to communication and demonstrates support throughout the life of the UC Benefits Modernization Project.
- **A strong and consistent message** – The Communication Management Plan reflects the mission of L&I, and supports, reinforces, and reflects the goals of the Commonwealth. CSG works to ensure consistent, timely, and accurate communications for internal and external stakeholders.
- **Central coordination** – Central coordination ensures a consistent, timely, and proactive approach. The CSG PMO Project Manager and L&I Project Manager coordinate communication channels within L&I throughout the life of the UC Benefits Modernization Project.
- **Open two-way communication** – A bi-directional, accurate, informational communication flow ensures information is shared between internal and external stakeholders, such as through e-mails, formal and informal meetings, meeting minutes, feedback on deliverables, etc.
- **Face-to-face communication** – Where possible, face-to-face communication assists to ensure communication is bi-directional, provides for a feedback mechanism, and assists participants with having a clear understanding of the objective of the discussion. Teleconferencing is used as an acceptable alternative to face-to-face communication when needed.
- **Proactive and timely** – Project related communications are developed to provide internal and external stakeholders with complete, accurate, and timely information. The dissemination of timely information also:

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- ✓ Takes into account the calendar of scheduled (and recurring) publications, postings, meetings, seminars, and workshops
- ✓ Ensures the quick completion and dissemination of meeting minutes

- **Inclusive** – Stakeholders are included in the communication process to build teamwork and a sense of belonging. The goal is to include everyone who cares to participate and to motivate those who are not currently engaged.
- **Tailor communication to audience needs** – Providing information the audience needs or wants, not what the presenter wants to communicate, allows the information to appear "real" to the audience. The audience is more likely to listen, participate, and appreciate the value if the information is pertinent to their current frame of reference. Where possible, an objective is to obtain feedback from the audience to help guide upcoming or needed communications.

Communication Considerations

When communications are developed, there are considerations to understand that will shape the content and usefulness of the communication.

Communication Inputs

For any communication, the following are considered to ensure it is developed with the right content for the right audience:

- Information needed
- Style, whether formal or informal
- Content
- Frequency of the communication
- Urgency of the information
- Media, such as the UC Benefits Modernization Project Library, e-mail, telephone call, teleconferencing, video conferencing, webcast, webinar meeting, external-facing website, file exchange, or live meeting
- Structure, such as meeting agenda, meeting minutes, memo, status report, press release, brochure, bulletin, newsletter, letter, presentation, voice mail recording, fax, or other document
- Communicator
- Audience, including level of knowledge of the UC Benefits Modernization Project or the topic
- Feedback cycle for questions, issues, and comments

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Key Decisions

Throughout the UC Benefits Modernization Project, decisions may be made regarding the project. It is important that the CSG PMO Project Team capture and track all key project decisions. To do this, the CSG PMO Project Team uses the *TeamCSG℠ Project Tracker* decision support tool. The figure below provides a screen shot of the *TeamCSG℠ Project Tracker* decision support form.

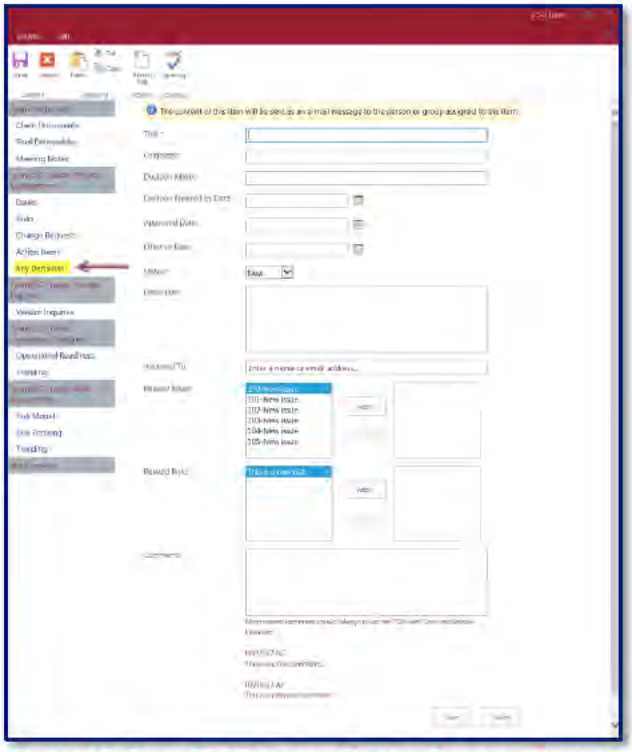

Figure 18: *TeamCSG℠ Project Tracker* Decision Support Tool

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Status Reporting

Status reports are the most common project communication tools. They serve as the integration point for project management disciplines and processes. The CSG PMO Project Team uses a multi-layer reporting approach that collects individual achievements and rolls them up into a summarized UC Benefits Modernization Project status. Status reporting includes the following:

- Weekly individual status reports
- Weekly project status report
- Monthly project status report
- Monthly deliverable assessment status report

Each communication type is described further below:

- **Individual Status Reports** – Team members prepare detailed weekly individual status reports for the CSG Project Manager. Individual status reports include:
  - ✓ Tasks completed since the last report period, with important notes, as appropriate
  - ✓ Tasks "To-Be" undertaken in the next reporting period
  - ✓ Issues that may affect assigned tasks and expected impact
- **Weekly Project Status Reports** – Status reports describe the results of project team tasks performed for each of the major activities. This report also contains identified issues, risks and recommendations for risk mitigation and/or issue resolution. The CSG PMO Project Manager submits the Weekly Project Status Report to the L&I Project Manager no later than 5:00 p.m. EDT of the Monday following the week being reported. A sample of the Weekly Project Status Report can be found in Appendix B, Sample Deliverables. The Weekly Project Status Reports include:
  - ✓ Progress of work performed, describing the status, by project phase, of each major task in the project plan and the deliverables associated with that task
  - ✓ Milestones attained and deliverables completed, comparing the planned and actual completion dates
  - ✓ Project task updates, incorporating agreed upon changes to the WBS and defining the implications for resources and schedules
  - ✓ Updated schedule, defining the major tasks, milestones, and deliverables that have been started or completed
  - ✓ A listing of significant departures from the overall project plan with explanations of causes and strategies
  - ✓ Overall plans and activities for the next period
  - ✓ Identification and assessment of:

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- High probability and high impact risks
- High priority issues
- Any needed corrective actions and resolutions associated with UC Benefits Modernization Project activities

✓ Change requests and status or progress of implementation

✓ Other items requiring L&I management attention with action recommendations

➢ **Monthly Project Status Reports** – The CSG PMO Project Manager prepares monthly project status reports to summarize project progress and identifies trends using analysis techniques**.** The CSG PMO Project Manager submits the Monthly Project Status Report to the L&I Project Manager within 10 business days following the end of the month being reported. The Monthly Project Status Reports include:

✓ All of the components of the Weekly Project Status Report

✓ Summaries of Change Control Board activities and decisions and any updates to change management strategies

✓ To-date UC Benefits Modernization Project cost reporting if requested

✓ Summary of overall UC Benefits Modernization Project plan activities and deliverables in terms of the approved project schedule as defined in the Quality Management Plan

✓ Gantt chart of baseline versus actual progress

✓ Planned activities scheduled for the next month

✓ Problems encountered, proposed resolutions, and actual resolutions

✓ Risk management activities including analysis of risks anticipated, proposed mitigation strategies and risk response plans, and resolved risks

✓ Issue management activities including analysis of issues anticipated, proposed resolution plans, and resolved issues

✓ Executive summaries for presentation to management and oversight bodies

➢ **Monthly Deliverable Assessment Status Reports** – The CSG PMO Project Manager prepares a separate status report to summarize project deliverable status which includes the following items:

✓ Deliverable accuracy

✓ Deliverable completeness

✓ Adherence to contractual and functional requirements

✓ Deliverable feasibility

✓ Deliverable consistency with overall project and other deliverables

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- ✓ Deliverable deficiencies, errors, and omissions
- ✓ Recommended improvements and remediation

Project Meetings

Effective team communication through status meetings is essential for maintaining focus on UC Benefits Modernization Project tasks, receiving warnings of potential problem areas, and preventing surprises and missteps. The purpose of these meetings is to discuss the progress of activities, identify potential issues or concerns, brainstorm potential alternatives or solutions, and plan the activities for the next period. During these meetings the team raises issues and risks and makes recommendations as needed.

Status meeting options include the following:

- Weekly Project Status Meetings
- Risk Review Meetings
- Issue Review Meeting
- Monthly Executive Steering Committee Meetings
- Change Control Board Meetings
- Ad-hoc Meetings
- Other miscellaneous meetings

Each meeting type is described further below:

- **Weekly Project Status Meetings** – Effective team communication via status meetings is essential for maintaining focus on project tasks, receiving warnings of potential problem areas, and preventing surprises and missteps. CSG leads regularly scheduled review and status meetings to discuss progress, identify potential issues or concerns, brainstorm potential alternatives or solutions, and plan the activities for the next period. These meetings are well-planned, time-boxed, and key actions are identified and assigned for follow-up. We prepare a meeting agenda and bring any relevant documentation necessary for discussion, such "As-Is"sue or change request logs. We raise issues and risks and make recommendations. A typical agenda includes:
  - ✓ Overall status of the project
  - ✓ Summary of project milestones
  - ✓ Accomplishments during the reporting period
  - ✓ New issues or risks identified during the reporting period and recommended resolution
  - ✓ Expected accomplishments during the next reporting period
  - ✓ Other items for management attention (for example, resource staffing issues)

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- **Risk Review Meetings** – The CSG PMO Project Team conducts regular meetings to review and discuss project risks. The CSG PMO Project Manager provides the content and agenda for this meeting and typically includes:
  - ✓ Review of the determine current risks, probabilities of occurrence, mitigation strategies, and risk response plans
  - ✓ Updates on risks being monitored by the CSG PMO Project Team
  - ✓ Escalation of risks as appropriate for higher level of decision making as defined by the Risk Management Plan
  - ✓ Assignment of new risks to a Risk Owner
  - ✓ Identification of risks that require a classification as an issue or to a Change Request and the responsible Change Initiator and Owner
- **Issue Review Meeting** – The CSG PMO Project Team conducts regular meetings to review and discuss project issues. The CSG PMO Project Manager provides the content and agenda for this meeting and typically includes:
  - ✓ Review of current issues and issue response plans
  - ✓ Updates on issues being monitored by the CSG PMO Project Team.
  - ✓ Escalation of issues as appropriate for higher level of decision making as defined by the Issue Management Plan.
  - ✓ Assignment of new issues an Issue Owner
  - ✓ Identification of issues that require a Change Request and the responsible Change Initiator and Owner
- **Executive Steering Committee (ESC) Meetings** – The CSG PMO Project Manager prepares summarized reports or PowerPoint presentations as appropriate for the ESC Meeting. The CSG Project Manager summarizes the status at the project level and presents it in a graphical format whenever possible. Presentations typically include:
  - ✓ Overall UC Benefits Modernization Project schedule, status, and budget using Gantt charts
  - ✓ Summary of completed and upcoming project milestones
  - ✓ Risk summary, with high consequence and high probability risks highlighted
  - ✓ Issue summary with references to significant outstanding issues and the potential impacts
  - ✓ Change summary with references to significant changes awaiting approval and their potential impacts
- **Change Control Board (CCB) Meetings** – The CSG PMO Project Manager prepares summarized reports or PowerPoint presentations as appropriate for the CCB Meeting.

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The CCB Meeting is normally included as part of the ESC Meeting but can be conducted separately if deemed necessary. The CSG PMO Project Manager summarizes the status of the Change Requests to review and presents it in a graphical format whenever possible. The presentation typically includes:

- ✓ Overall UC Benefits Modernization Project schedule, status, and budget using Gantt charts
- ✓ Issue summary with references to significant outstanding issues and the potential impacts
- ✓ Change summary with references to significant changes awaiting approval and their potential impacts

- **Bi-weekly Director's Briefing** – CSG meets with the UC Benefits Modernization Project Sponsor about specific issues and to prepare for the ESC Meeting. We provide:
  - ✓ A draft steering committee agenda for review and discussion with the UC Benefits Modernization Project Sponsor to ensure the materials address the issues and concerns of the ESC.
  - ✓ Other relevant documents, such "As-Is"sue-specific materials, to provide information needed by the UC Benefits Modernization Project Sponsor for other L&I executives.
- **Ad-hoc Meetings** – The project team may use ad-hoc meetings as an informal way to address important UC Benefits Modernization Project topics during the life of the project.
  - ✓ This technique is particularly effective for reinforcing methodology, discussing technical issues or approaches, or addressing quality and process approaches or issues with the UC Benefits Modernization Project Teams.
  - ✓ Because of the informal nature of these meetings, a casual setting (e.g., lunch-and-learns) can be utilized to promote teamwork as well as provide another feedback loop from staff to L&I leadership.
  - ✓ UC Benefits Modernization Project leaders can also use this technique to communicate pertinent information with the L&I staff.

Project Repository and Distribution

The project team uses various UC Benefits Modernization Project meetings and reports as a means for information collection and distribution. The Communication Management Plan and all other key communication documents are available in the UC Benefits Modernization Project Library. The UC Benefits Modernization Project Library is the official repository for all pertinent UC Benefits Modernization Project information. The UC Benefits Modernization Project Library is for sharing project related files, including deliverables, working documents, templates, procedures, and minutes.

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Benefits of the UC Benefits Modernization Project Library include the ability to:

- House UC Benefits Modernization Project information for the project team
- Allow collaboration with team members on all UC Benefits Modernization Project activities
- Publish and maintain UC Benefits Modernization Project documents, such as system design or user manuals
- Access and analyze data from the detailed system design repository
- Track team events

CSG will utilize the Commonwealth's SharePoint site as the primary tool used to support UC Benefits Modernization Project communications.

The owner of the posted materials uses e-mail notification to the intended authorized audience that material is available for review and includes a secure hyperlink within the electronic message to provide easy access to the material. If the posting requires any action by the recipients, the owner identifies any due dates within the message.

Document Formats and File Management

The CSG PMO Project Team ensures documents are created and stored for ongoing project use and historical reference. To do this, UC Benefits Modernization Project documents are created using standard formats for ease of review. In addition, standard file naming conventions are used and document control is implemented to ensure easy access and retrieval of current, valid project documents. CSG will utilize Windows7 enterprise and MS Office products.

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Quality Management Plan

CSG is focused on quality management and delivering the specific core quality assurance support services set forth in the RFQ throughout the life of the project. The PMO services described in this section ensure quality for our own deliverables as well as those of the DDI Contractor. We take ownership of quality for the UC Benefits Modernization Project by ensuring appropriate processes are in place to:

- Define quality standards for which CSG and DDI Contractor deliverables are measured
- Measure CSG and DDI Contractor deliverables against defined standards through formalized Quality Control (QC) reviews
- Document and report where variances exist
- Facilitate the definition of remediation plans that bring deliverables back into compliance. These plans determine what needs "To-Be" fixed and by whom
- Oversee the remediation process to ensure remediation plans are successfully implemented; deliverables are brought back into compliance and meet acceptable quality levels

These core services are pro-active and comprise a paramount component for the success of the UC Benefits Modernization Project. In the role of trusted advisor, the CSG PMO works with the L&I Project Manager to confirm and validate that all DDI Contractor deliverables adequately satisfy all of the requirements contained in their applicable Contract and requirements previously established by L&I. At this point in the project all CSG PMO staff has an internalized understanding of all aspects of relevant Contract requirements and L&I technical standards.

CSG manages projects such that quality and tangible results are emphasized throughout the project life cycle. We include time in the WBS (Project Schedule) for functional and technical reviews, and system components are designed with an emphasis on reusability and maintainability. We ensure that the PMO resource(s) with the right knowledge and skills are involved in the review of portions of deliverables as they are developed, which builds buy-in and eliminates surprises. Finally, we often conduct internal project reviews to provide objective feedback and recommendations. CSG's experience has shown that quality is highest when it is planned for and engineered into the design of an entire project or system, instead of only inspected in the finished product. CSG supports continuous process improvement and is constantly looking to the CSG PMO to streamline processes for efficiency and effectiveness.

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Quality Planning

Quality planning is performed in parallel with other project planning processes and ensures the quality standards relevant to the UC Benefits Modernization Project are identified and plans and processes are made to satisfy them. Quality planning involves:

- Creating a Quality Management Plan, which includes defining the deliverable acceptance process, and informing and training staff on its contents
- Including tasks and time in the project schedule for defining the parameters of project processes and deliverables, developing Deliverable Expectations Documents (DEDs), developing acceptance criteria, identifying the resources to perform the quality activities, and performing internal quality reviews
- Defining deliverable acceptance criteria and the pre-established minimum standards or requirements the deliverable must meet before it is accepted. Acceptance criteria can include functionality requirements, performance measures, conditions, and regulatory compliance
- Developing the tools that support quality, including deliverable review checklists and Deliverable Comment Logs

CSG Quality Assurance Methodology

CSG's approach to QA services are based on our robust, standards-based **CSG QA Methodology,** customized to the unique needs of the UC Benefits Modernization Project. Our QA Methodology provides our team with a set of tools and a knowledge base that supports powerful tracking and reporting on project progress and risks.

CSG's QA Checklists incorporate the appropriate PMBOK® standards and are leveraged by the CSG PMO to conduct the monthly deliverable assessments. CSG refines and customizes the QA Checklists to account for the project management review activities for the UC Benefits Modernization Project. As a result, the weekly and monthly status reports are developed in accordance with industry standards and best practices. In addition, CSG's Project Management Office Center of Excellence ensures that applicable standards are available to our CSG PMO.

At the core of our approach to QA work are our proven methods, experience, and culture. Leveraging the best of what we have to offer, from our PMO team, our project advisory team, and our state of the art tools, CSG provides the level of oversight that fosters project success.

Our QA activities focus on proactive, predictive, and preventive QA techniques. We do not just focus on the identification of issues and risks, but on solutions for issues, mitigation strategies for risks, observations and recommendations, and opportunities for improvement for upcoming project phases and activities. Our QA assessment activities inform not only the current state of the project, but anticipate and predict forward-looking quality improvement opportunities.

Our CSG PMO brings not only the standards-based tools and skills needed to conduct effective quality assurance services, but also the support of CSG leadership and a strong understanding of our commitment to the UC Benefits Modernization Project. We are committed to providing

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quality assurance services that contribute to the successful implementation of the UC Benefits Modernization Project. Our investment in developing standards-based methodologies provides tools that are customized for your needs to verify, validate, and mitigate risk. Our risk management approach facilitates our partnership with you to find actionable risk management solutions.

Quality Assurance

QA refers to ensuring the process used to create and review project deliverables is functioning to produce high quality work products. Whereas quality control focuses on deliverable acceptance criteria and ensuring the deliverable is correct, accurate, and complete, QA focuses on how the project processes and deliverable review and revision process functions.

QA ensures the UC Benefits Modernization Project implements the deliverable definition and review processes and the appropriate tools are used to review deliverable adherence to acceptance criteria and project standards. In addition, QA activities review the quality processes being used and adjust them as necessary to ensure the acceptance criteria are being achieved and a quality product is being delivered.

As part of the QA process, the CSG PMO uses the following:

- **Project Team Member Training:** The CSG PMO is trained on the processes CSG uses to conduct project activities, gather documents, review project deliverables and project artifacts, use the quality management tools, and conduct meetings.
- **Project Performance Group (PPG) Lead:** The CSG PMO Project Manager coordinates with the PPG Lead to discuss anticipated resource needs, process concerns or strategies, deliverable development status, additional or new tools or training needed, and needed assistance for additional reviews of project deliverables. In addition, the PPG Lead reviews a Deliverable Tracking Report and ensures upcoming CSG deliverables have adequate planning occurring as well as the resources needed to complete them.
- **Internal Peer Reviews:** Each CSG deliverable goes through one or more internal peer reviews before submission. Both the CSG PMO project team members and the CSG PMO Project Manager provide peer reviews. The CSG PMO Project Manager and Client Executive provide final review on deliverables prior to submission to the L&I Project Manager.
- **Quality Reviews:** To determine whether project activities comply with the Quality Management Plan and processes and whether the appropriate controls are being applied. Quality reviews are geared toward determining if project quality complies with the Quality Management Plan. The CSG PMO PM and the PPG Lead facilitate quality reviews of key CSG deliverables by the Project Advisor and relevant CoE leads as needed.
- **Team Meetings:** To regularly discuss project progress, address issues, and redirect resource priorities as needed to ensure quality deliverables are being produced, the quality management tools and processes are effective, and the project remains on track.

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- **Deliverable Expectations Documents (DEDs):** DEDs are developed and submitted for project deliverables–which include an outline of the deliverable as well as some preliminary draft content–and then are reviewed with the L&I Project Manager to obtain agreement on deliverable expectations.
- **Deliverable Walkthroughs:** The CSG PMO conducts deliverable walk-throughs, as necessary, with the DDI Contractor to ensure the deliverable is understood and meets L&I's expectations prior to formal submission.

Quality Control

Quality control refers to the activities performed to inspect, review, and correct deficiencies in UC Benefits Modernization Project deliverables including those deliverables prepared by the DDI Contractor. Quality control is how the CSG PMO monitors and reports on UC Benefits Modernization Project deliverables to determine whether they comply with the defined quality standards. Results of quality control are fed back to the QA process to re-evaluate and analyze the quality standards and acceptance criteria.

Quality control activities assess the development and completion of each deliverable to ensure it is correct, complete, consistent, and accurate and complies with:

- Project and system standards, best practices, and conventions
- RFQ and contract requirements
- System requirements
- Acceptance criteria
- Professional document standards related to grammar, formatting, and punctuation

The CSG PMO ensures reviews are being conducted on each deliverable of the DDI Contractor for accuracy, conformity to contract requirements, completeness, and compliance with any relevant Commonwealth Information Technology Policies (ITPs).

Quality control ensures QA processes are effective, are occurring as planned, and are continually being improved as needed. Based on the results of deliverable reviews, it may be necessary to institute corrective actions. Any deficiencies noted are corrected and the processes are modified as appropriate.

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Time Management Plan

CSG delivers PMO services to the UC Benefits Modernization Project in coordination with a Schedule Management Plan and a Financial Management Plan that define how the schedule and budget plan (i.e., the project cost) are baselined, and how changes to the baseline are identified, approved, and implemented.

We evaluate the DDI Contractor project schedule and look for tasks in manageable components. Our approach is that by creating more tasks with smaller durations, as opposed to few tasks with longer durations, it is easier to hold individual team members accountable for reasonable and achievable tasks. Our experience shows that achieving a series of small successes leads to overall success. Hence, by using this approach we have insight into detail for tracking project status at the task level, group of tasks level, release level, and the overall project level.

Time management, risk management, and issue management are inter-related. By meeting intermediate schedule milestones, resolving issues in a timely fashion, and monitoring risk mitigation plans, we keep the project on schedule.

Time Management Approach

CSG's approach to time management is integrated into our approach to project planning. Project planning is an ongoing activity that details the work "To-Be" performed and tracks progress against that work. It is not a one-time activity conducted only at the start of a project. The project schedule serves as the basis for primary communications to the team and project stakeholders of the project's progress. As such, the project schedule is kept current in order "To-Be" meaningful, and it reflects all work that needs "To-Be" performed. Disciplined project planning is critical to the success of a project.

CSG has extensive experience preparing realistic project plans that serve as the foundation for successful projects. We use expert judgment and past project plans from similar engagements to validate our initial project plans for any engagement. Our experience on large legacy modernization projects has equipped us to define and manage complex project plans.

CSG helps to define realistic project plans that reflect balanced loading of resources and clearly defined schedule milestones. Once the initial project schedule has been reviewed and approved, it is "baselined." At this point, the expected tasks, work effort, resources, and costs are frozen as a starting point for the project. All UC Benefits Modernization Project subsidiary and supporting schedules are assimilated into the project schedule. The resulting project schedule identifies and includes all applicable project milestones for identifying and documenting those discrete events necessary to complete the project. The project schedule also identifies and includes event dependencies, expected event durations, and required event resources. On a regular basis, and no less frequently than weekly, the CSG PMO Project

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Manager collects relevant data and input from the DDI Contractor and all other applicable resources for incorporation into the project schedule. In this manner, the project schedule is fully utilized as a management tool and the pulse of the project is constantly monitored. All team members understand their role on the project, the schedule milestones, and the tasks they must complete to achieve the milestones.

Project Schedule Development

The UC Benefits Modernization Project Project Schedule is initially developed in coordination with the L&I Project Manager within the first 30 calendar days of the project start and maintained using Microsoft® Project® 2010. Where appropriate, project executives, stakeholders, and staff are consulted to ensure all relevant needs and expectations are considered in planning the project phases and developing the project schedule.

The project schedule identifies the specific work "To-Be" performed to complete each deliverable. CSG uses a "rolling wave" approach to progressively elaborate the project schedule which defines tasks in detail in a 60-day to 90-day leading window while maintaining a more coarse level of detail for tasks beyond that timeframe. This allows the definition of tasks "To-Be" developed in the context of the work already completed, maximizing the accuracy of assignments.

Once the project schedule is developed, activities are sequenced with defined durations and work efforts. Relationships between project activities (i.e., dependencies) and resources are assigned and balanced for the successful performance of tasks identified in the project schedule within the timelines per the project schedule. Each grouping of work has an associated milestone to help facilitate project performance tracking and status. The CSG PMO Project Manager reviews the project schedule with the applicable resources to ensure the accuracy of the tasks, work assignments, durations, and schedule.

The project schedule is submitted to the L&I Project Manager for review and approval. Once approved, the CSG PMO Project Manager creates a baseline schedule. At this point the expected tasks, work effort, schedule, and resources are frozen as a starting point for the project and the project schedule is used to monitor all work efforts for the project.

Once the project schedule baselines have been confirmed, only changes approved by the L&I Project Manager are incorporated into any revisions or new baselines. The CSG PMO Project Manager works side-by-side with the L&I Project Manager throughout the entire process. The baseline project schedule and all subsequently approved updates are made available in the UC Benefits Modernization Project SharePoint site.

Project Schedule Maintenance

The project schedule is updated weekly and reviewed by the CSG PMO Project Manager, an on-going activity that tracks the work performed, the timeframes for when the work has been or will be completed, and progress against the work and timeframes. In general, as the UC Benefits Modernization Project approaches the start of a new project phase, or the beginning of a new 90-day cycle, the CSG PMO Project Manager re-evaluates the upcoming work and

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tasks needed with the project team to ensure resources are allocated and work estimates are still valid.

After the DDI Contractor is selected, the CSG PMO Project Manager works with the DDI Contractor to update the project schedule to reflect the selected DDI Contractor's implementation methodology. CSG's project management oversight experience with various implementation methodologies ensures L&I that the project schedule remains PMBOK® compliant, adheres to the relevant L&I project standards, and supports the DDI Contractor design, development, and implementation approach.

Schedule maintenance is an ongoing process of reviewing and updating the schedule. The project schedule is reviewed weekly with the L&I Project Manager. It is updated with actual start and finish dates and completion percentages provided by task owners. Any schedule variances are discussed for possible impacts and resolution.

Project Tracking

Project tracking and subsequent re-planning are iterative processes throughout the project life cycle. The CSG PMO reviews the project schedule weekly, updates it to reflect actual work completed and remaining work, and reschedules work as necessary. The CSG PMO Project Manager determines project variances from the baseline and makes required adjustments to the project schedule once the L&I Project Manager approves such variances.

Updating and maintaining the project schedule ensures a current and up-to-date project status. These maintenance activities feed key project metrics, which facilitates transparency for the project management teams to identify and respond to schedule risks in order to decrease overall project risk and promote on-time delivery. This helps the CSG PMO team to quickly and proactively implement corrective actions to address schedule slippages and make necessary adjustments to stay on schedule.

Project Schedule Control

Weekly reviews ensure the project schedule is being evaluated, discussed, and analyzed for project variances on a consistent and reliable basis, so any potential drift from the project baseline is quickly identified, any impacts of schedule variances are determined, and variance resolution options are discussed.

There are known and unknown factors that may influence the project schedule:

- **Known Schedule Influences:** The project team tracks known schedule influences through either the risk or change management processes. Factors that are anticipated, but clearly outside of the control of the project, are tracked as risks and their status communicated through the Weekly Project Status Reports. Known influences can be planned for and factored into the initial project schedule, or, as needed, addressed through the Schedule Adjustment Techniques described below.
- **Unknown Schedule Influences:** Unknown schedule influences are nearly impossible to anticipate. Jury duty, inclement weather, natural disasters, team member sickness, or

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retirements are common examples of unknown influences. The weekly schedule review meetings allow for the ongoing discussion of potential unknown influences so they can be assessed for project impact as needed. Unknown influences that impact a schedule need "To-Be" addressed using schedule adjustment techniques described below.

If the project falls behind schedule, there are a number of techniques that may be used to bring the project schedule back on track. The CSG PMO Project Manager identifies the need for adjustments in response to known and unknown schedule influences. These schedule adjustments may include:

- **Schedule compression**
  - ✓ *Crashing* – adding more resources to the project
  - ✓ *Fast tracking* – shrinking the critical path (i.e., the longest sequence of activities that must be completed when scheduled to complete the project on time) by doing critical path activities concurrently
- **Project team overtime** – At times it may be necessary to work overtime to meet a milestone date; however, the project schedule should not be constructed with overtime in the baseline
- **Baseline scope reduction** – Reducing the scope of work or reducing the functionality that will be delivered by the milestone date; however, this option may not be acceptable to the Executive Steering Committee or other stakeholders
- **Revisiting timelines and milestones** – It may be necessary to adjust the milestone date if none of the other techniques listed above are approved by the L&I Project Manager

Capacity Plan

The Capacity Plan identifies the components of the UC Benefits Replacement System that need "To-Be" considered as part of the capacity planning and defines an approach to monitor and assure sufficient capacity for those components. The Capacity Plan also considers projected volume changes over time where appropriate, so that they can be considered during infrastructure design to ensure that future capacity requirements will be met.

The following are examples of system aspects that are reviewed as part of the Capacity Plan. These aspects are evaluated based on both current and projected transaction metrics:

- Server Hardware
- Database Server
- File Storage
- Network Infrastructure/Bandwidth
- Client Hardware
- Printing

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- Batch Processing
- Reporting
- Data Conversion
- Legacy Platform

Once the system requirements have been gathered, CSG will develop a capacity plan that reflects standards (including coding and quality) and performance requirements based on the system requirements, Commonwealth standards, and industry best practices.

Upon choosing a DDI Contractor, CSG will work with L&I and the DDI Contractor to ensure that the solution adheres to the capacity plan framework and will update the capacity plan as solution specific details or changes to system requirements impact the capacity plan.

CSG will work with L&I to gather performance metrics and historical transaction volumes of the legacy system in order to provide a baseline of understanding the demands that will be placed on the new system. CSG will also work with the DDI Contractor to understand the architecture of the new system in order to establish a baseline target infrastructure profile.

Code Quality Review Planning

The Code Quality Review Plan is composed of three components.

- **Coding Standards** – The coding standards are focused on ensuring that the DDI Contractor has a quality coding methodology. Examples of these best practices include ensuring the DDI Contractor has
  - ✓ coding standards
  - ✓ processes to ensure adherence to coding standards
  - ✓ tools that provide automated review of code
  - ✓ reporting of code metrics
- **Quality Standards** – The quality standards are focused on ensuring that the DDI Contractor's coding standards follow programming best practices. Examples of these best practices include ensuring
  - ✓ a quality architecture
  - ✓ adequate logging
  - ✓ quality exception handling
  - ✓ security considerations are incorporated
  - ✓ efficient session management
- **Implementation Specific Standards** – The implementation specific standards are focused on standards that reflect the best practices based on the implementation approach chosen by the vendor. Examples of these best practices include

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- ✓ language specific standards
- ✓ design patterns for an application integration approach
- ✓ best practices for usage of middleware component

Once the system requirements have been gathered, CSG will develop a Code Quality Review Plan that reflects coding and quality standards based on the system requirements, Commonwealth standards, and industry best practices.

Upon choosing a DDI Contractor, CSG will review the implementation approach chosen by the DDI Contractor and add implementation specific standards to the Code Quality Review Plan.

CSG will develop coding standards, quality standards and implementation specific standards checklists that will be used to review the DDI Contractor system development deliverables.

System Development Deliverable Review

Compliance with strong methodologies is critical to building a robust system. High-level and detail designs, done well and done thoroughly, expedite building the solution and minimizing the risks. Once in construction mode, coding standards, code reviews, and thorough unit and integration testing, with an eye to strict compliance to the design, improve the chances for success and on-time delivery. As a result, CSG reviews the system development documents to ensure the system is in compliance with industry standards and based on Commonwealth standards as defined in the system requirements. We evaluate the results of development and construction ensuring that these results comply with the system requirements and design documentation.

The following table represents a summary of the types of deliverables CSG expects to review and approach we will use to validate them:

DDI Contractor Deliverable	Approach
Development Environment	Validate the project's development environment to ensure it meets the defined requirements and remains consistent with overall software development methodology. Additionally, CSG evaluates against industry and Commonwealth standards for software life cycle processes.
Development and Unit Test	Validate the project's unit testing to ensure it meets the requirements from the requirements specification documents and traceability matrix, and it is aligned with industry and Commonwealth standards.
Source Code Library and Database Design	Assess through management reviews, technical reviews, inspections, code reviews, walk-throughs, and audits against industry and Commonwealth standards. As part of the review, CSG will make performance tuning recommendations to improve the quality of the system. These recommendations will include both code based and database based recommendations such as changes to indexes and strategies that will increase the efficiency of the code.

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DDI Contractor Deliverable	Approach
System, Integration, Performance/Stress Testing	Reviews the system and integration testing documentation and results to ensure appropriate planning of integration and system tests and defect tracking reporting. We review the test results to verify the system meets the required functionality and is ready for acceptance testing. CSG also reviews performance/stress testing documentation and results to ensure the system will perform as expected with expected user volume.

CSG will review the quality of the DDI Contractor deliverables as defined by the Capacity Plan and Code Quality Review Plan. CSG will use the approach defined within the plans to document and report the variances. In addition, CSG will develop remediation plans and oversee the remediation process to ensure that deliverables are brought to compliance with the Capacity Plan and Code Quality Review Plan.

Any issues and risks that are found will be included in the issue and risk processes as defined in the Risk Management Plan and Issues Management Plan. In addition, CSG will ensure that the status is reported in status reports and meetings as defined in the Communications Management Plan.

3.1.5.2 On-Going Project Management Office Oversight

The CSG PMO provides oversight services throughout the modernization effort. CSG recognizes the significance of delivering high-quality PMO project services when managing a UC Benefits Modernization project under the guidance of a PMO. Supporting L&I's uniqueness and the need for well-managed, level-set, timely, and seamless project plans is paramount. The CSG Team encourages a holistic and strategic approach with an eye toward detail. Ultimately, we are driven by results; improved customer service, reduction in cost, and L&I's ability to deliver timely services to the public through enhanced process and technology.

The CSG PMO facilitates a shared understanding and agreement among all project participants leading to what will be delivered, how it will be completed, and the commitment required.

Managing and Delivering PMO Services

The L&I UC Benefits Modernization PMO has the following characteristics and each is described below:

- Experienced and dedicated people
- Timely and candid communication
- Proven and repeatable management and oversight processes
- Useful and reliable metrics and tools
- Professional and effective integration with project and executive management

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Experienced and Dedicated People

A successful PMO contains people with a range of skills and experiences. The most effective PMOs have experts in project management, business function, and technology. The leaders of the PMO must have the experience to understand the issues that projects face. They must have the credibility to effectively report issues and offer solution alternatives. The CSG PMO team is staffed with the right skills – project management, UC Benefits modernization requirements and processes, and technology platforms. We have the qualifications to help you ensure that the modernized program meets L&I's objectives.

Timely and Candid Communication

The success of the CSG PMO is directly related to how well it facilitates communication throughout the length of the project. A thorough Communication Plan promotes consistency, managing the flow of critical project data to the right people. Poor or ineffective communication is often a major contributor to the failure of a PMO and the project.

The CSG Team collaborates with executives and key L&I staff to devise a communication strategy that will effectively support UC Benefits modernization activities. The plan designates key stakeholders, specific information "To-Be" communicated, the frequency and method of communication, and the target audiences.

Proven and Repeatable Management and Oversight Processes

Program modernization projects are typically complex, multi-year efforts, where hundreds of unexpected issues and obstacles can arise. State executives, project managers, and other stakeholders rely on the CSG PMO to bring these issues to light. The reliability of The CSG PMO depends on the execution of data-gathering and analysis processes that have been proven in similar projects. The CSG Team utilizes industry-standard processes that have been used successfully on major public sector projects.

Useful and Reliable Metrics and Tools

A large, complex program modernization consists of hundreds of people performing thousands of tasks on a daily basis. The amount of critical performance data is enormous. All of this information must be distilled into a form that helps executives and key L&I staff to make sound decisions. The CSG Team utilizes metrics that provide both quantitative and qualitative insight, and tools that promote the compilation and analysis of large amounts of data on a timely basis.

Professional and Effective Integration with Project and Executive Management

The L&I Project Manager, the Project Steering Committee, and the Project Director are responsible for guiding the L&I UC Benefits Modernization Project Management and IV&V project and making the decisions required to meet L&I's objectives. They depend on the information and recommendations of the PMO. The relationship and integration between the CSG Team and these decision makers is the most important factor in the success of the PMO.

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PMO Management

The CSG PMO provides common planning and reporting processes, and brings structure and support to evaluating, justifying, defining, planning, tracking, and executing the project plans. It also encourages the resolution of conflicts caused by limited resources and other constraints.

Through the course of matured and fitted management, business and technical processes, proven methodologies, and tools, the CSG Team provides an inclusive and unified means by which to cohesively manage the UC Benefits Modernization project, minimize risk, and contain costs. This is accomplished in part by:

- Forming and maintaining all distinct and aggregate project plans
- Developing and maintaining resource utilization mapping and tools
- Creating and maintaining the WBS (Project Schedule)
- Analyzing and management of the budget
- Developing the Requirements Traceability Management (RTM)
- Managing requirements from design, testing, and into production
- Establishing and hosting the change control board
- Facilitating monthly steering committee meetings
- Facilitating director's briefings and weekly management project meetings
- Providing technical architecture reviews and best practices to ensure compliance with L&I's technical vision and Commonwealth ITPS
- Managing program and project communications
- Managing, scheduling, facilitating, and participating in Vendor deliverable reviews
- Supporting stage gate reviews

The CSG Team additionally takes the lead on shared risk identification and associated escalation processes, maintaining issue tracking tools and reporting, calculating earned value, and a host of additional responsibilities associated with project management.

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3.1.6 Task Hours by Role

CSG provides the table below detailing the roles and hours used to complete the Project Planning and Management task.

Role and Resource	Hours
Project Manager *Saralinda Bauer*	5,280
Project Scheduler *Varun Anand*	5,280
Business Architect/Policy Writer *Fairy Curtis*	3,220
Solutions Architect* *Narendra Yadav*	1,920
Senior Technical Architect* *Korol Taylor*	3,032
Technical Advisor *Vijay Pandey*	1,024

**CSG has consolidated some of the roles detailed in the RFQ. Please see Section 5.1, Key Personnel for a Roles Matrix detailing these role consolidations.*

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3.2 Pre-Solicitation

CSG possesses in-depth knowledge of the UC marketplace and understands the complexity involved in creating a modern UC system. According to the National Association of State Workforce Agencies (NASWA), 60% of UC modernization efforts are challenged, 20% were never completed, and 20% succeeded. These factors are a call for change to embrace proven approaches to UC system solutions such as the strategy being pursued by the Commonwealth.

We recognize the challenges the Commonwealth faces in administering a complex Benefit program with constraints and limitations imposed by a mix of legacy systems and applications. A modernized, integrated system can provide real-time data sharing across functions, increase productivity, enhance customer service and ease of use, and provide flexibility in complying with the changing federal and Commonwealth requirements.

CSG understands the complexity of completing a large project such as this, as well as the intricacies of the UC program. We have developed a methodology and approach for the Commonwealth based on our real world experience of completing multiple UC projects.

3.2.1 UC Systems Assessment

The objective of the UC Systems Assessment is to develop an understanding of the current L&I technical environment and an understanding of L&I's vision for a new UC Benefits System.

Conduct Visioning Session

The CSG Team conducts a visioning session as a part of the Pre-Solicitation phase with key stakeholders of L&I to verify the high level goals and objectives of the UC Benefits Modernization Project. CSG utilizes our **CSG REALize℠ UC Maturity Model,** derived from the research and experience of our UI practice, for the Visioning Session as a guide for gaining consensus on goals, objectives and vision for the Agency from the L&I stakeholders. Following the visioning session, CSG creates a summary of the session and distributes it to L&I to confirm the functional and technical vision and goals of the UC Benefits Modernization are understood. The confirmed vison and goals session are used by the CSG PMO to focus the Technical Assessment, Technical Roadmap, requirements and ultimately the new UC Benefits System. The CSG PMO is responsible for aligning all requirements and activities with the vision and goals of L&I.

"As-Is" UC Systems Review

The CSG PMO conducts a four week assessment of L&I's UC benefits operations and systems. CSG understands that strategic examination and analysis of ""As-Is"" systems and manual processes of the UC Benefits is a valuable first step. The CSG Team needs to understand where the Commonwealth is starting from in order to develop a realistic Technical Assessment, Technical Road Map, and Requirements. Our pragmatic approach is based on lean principles, and "begins with the end in mind", enables us to leverage the ""As-Is"" as key input to the requirements development and producing RFP-quality ""To-Be"" system requirements which meet the L&I's overall project objectives.

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The CSG Team conducts a technical review centered on the IT functions from several perspectives: the existing applications, the skills and roles of the IT staff, the processes and practices for managing systems, and the technology infrastructure. The review typically includes computer and network hardware, software, programming languages, web services, telephony, security techniques, systems integration, standards and procedures. The CSG Team has substantial UC system modernization experience, including a single state such as Michigan and New Mexico and consortium experience including Vermont, Maryland, and West Virginia (VMW) and Wyoming, Colorado, Arizona and North Dakota (WyCAN). We possess a solid understanding of the architecture involved in a UC system while being mindful that each state is unique. The CSG Team also understands that the ""To-Be"" architecture is technology independent and not tied to any particular vendor framework or product.

We utilize our **CSG REALize℠ UC Planning Questionnaires** designed to assist with gathering additional business, organizational, and technical information on the current state of the UC operations. Questionnaires are distributed in advance of scheduled interviews with managers and supervisors to collect data, metrics, and prepare for discussions. We conduct several one-on-one and multiple participant interview sessions with key L&I IT staff members.

The "As-Is" Technology architecture and infrastructure is documented for applications, system architecture, network architecture, system interfaces, service level, development and QA environments and processes, and IT standards. Organization structure, facilities, and call center information are also documented.

The CSG PMO maps business processes to organizational units, business processes to technologies, and organizational units to technologies. Tables are created to illustrate the following relationships:

- **Business Processes to Organization Cross-Match:** shows the relationship between the business processes discussed and the organizational unit that interacts with those business processes
- **Business Processes to Technology Cross-Match:** shows the relationship between the business processes discussed and the technology that is used to support those business processes
- **Organization to Technology Cross-Match:** shows the relationship between the organizational units that interact with the business processes discussed and the technologies used to support those business processes

3.2.2 Industry Research

CSG PMO and L&I work together to conduct a UC System Assessment that identifies potential options for modernization. The CSG Team researches potential options, facilitates information gathering and presents potential solutions to key L&I stakeholders

The CSG team leverages the **CSG UC Center of Excellence℠** (CoE) when preparing our research on UC modernization options. The CoE allows the CSG PMO to access:

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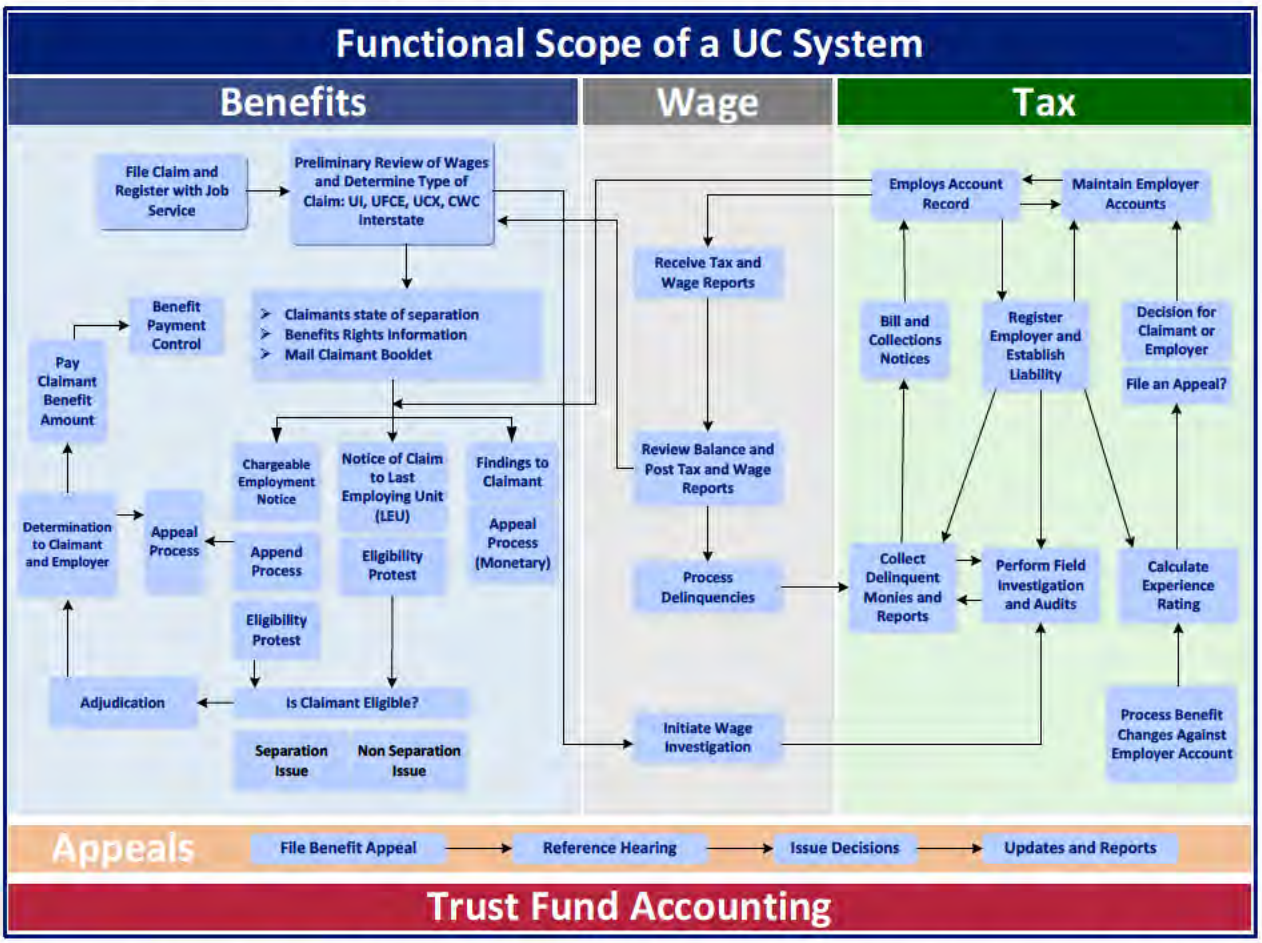
- **UC Expertise.** CSG has deep UC systems analysis, design, and implementation experience. We have abroad understanding of UC and how the Benefit and Tax systems integrate. We maintain this broad understanding of the UC system relative to Appeals, and Trust Fund Accounting as well. Our ability to keep the overall functional scope of the UC system in view throughout the UC Benefit Modernization solicitation is what sets us apart from our competitors.



- **Knowledge of the UC Marketplace.** CSG has a thorough understanding of the UC marketplace and modernization efforts across the country. CSG is an active participant in the UC community, having attended, sponsored, or exhibited at the three major annual UC conferences (UC Winter Policy Forum, UC Technology Conference, and UC Director's Forum) for many years. This enables our team to hit the ground running and immediately bring that experience "To-Be"ar for the Commonwealth.

- **UC Projects.** The UI CoE is made up of full time CSG staff with over 300 years of UC experience. This knowledge is available at all times to the CSG PMO. The CSG team participates in monthly CoE calls that allow our UC experts to share experiences and best practices from our projects across the country. Furthermore, the CSG PMO itself has UC experience in the states of Arizona, Colorado, Maryland, Michigan, Missouri, New Mexico, Vermont, West Virginia, and Wyoming. This experience provides the

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Commonwealth with the unparalleled, in-depth knowledge for completing a detailed planning effort followed by a successful implementation.

Industry Best Practice Analysis

The CSG Team leverages our CoE, nationwide experience in the UC marketplace, NASWA relationships (CSG is a NASWA ATM sponsor) to collaborate with L&I to identify and UC Benefits Replacement System solution options and industry practices. We also draw upon our knowledge of IT best practices and current trends in public sector system modernizations and any applicable innovations from the privates sector. These options may be a custom solution, framework, COTS, application transformation or transfer. We create an Industry Knowledge Summary and review it with L&I key stakeholders. The goal is to provide information to L&I stakeholders to facilitate the development of practical technical roadmap based on L&I vision and preferred implementation approach. CSG understands that all approaches must not be specific to any vendor in order to maintain the fairness for the subsequent solicitation. CSG does not partner with any implementation vendors nor does CSG implement solutions to ensure that the Commonwealth receives unbiased, independent information.

Possible approaches and solutions reviewed are:

- **COTS** – implementations of commercial off the shelf software configured to the Commonwealth's requirements
  - ✓ Pros: Faster implementation, ability to upgrade, lower costs
  - ✓ Cons: Less State specific approach (need to implement "Core" product), ongoing licensing costs, "vendor lock"
- **Vendor Framework/State Transfers** - custom implementation within existing framework
  - ✓ Pros: Proven functionality
  - ✓ Cons: Long system implementations, high cost, recent troubled projects
- **Consortiums** – implementation of new UC Benefits Replacement System as part of a multi-state effort
  - ✓ Pros: Federal funding avail bale, share costs/support/project resources
  - ✓ Cons: No multi-state system yet in production, success depends on resources not directly under State control, need to identify either "high fit" existing Consortium or group of States to form new Consortium
- **Application Transformation Services** – use of software tools to take existing legacy code and "transform" it to a new target environment
  - ✓ Pros: Shorter timeframes and lower cost
  - ✓ Cons: Has not been utilized for a complete UC benefits modernization, less ability "modernize" processes

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- **Smaller Successive Projects** – Perform small successive projects to modernize UC Benefits System
  - ✓ Pros: Smaller projects, less risk
  - ✓ Cons; Can lead to lack of cohesive strategy, disparate systems, business process reengineering is less unified

Request for Information

In order to ensure that all possible approaches and solutions, are researched, as a best practice CSG recommends the creation and distribution of a Request for Information (RFI). An RFI allows for the L&I to receive information from the system modernization vendor community and evaluate all possible approaches as part of the pre-solicitation process. By conducting, a brief RFI process, L&I ensures all vendors have an equal opportunity to present their solution and approach. This is another step to ensure that L&I receive the most current information while maintaining a fair solicitation process.

The CSG PMO prepares the RFI for L&I review and approval. The CSG team works with the Commonwealth Office of Information Technology Bureau of IT Procurement or any applicable department throughout the RFI process to ensure all procurement regulations and laws are followed. This also allows the CSG PMO to establish a relationship with the Commonwealth procurement staff and gain and understanding or procurement policies early in the project. The knowledge and understanding of procurement is vital for a successful solicitation of the UC benefit Solution later in project. The same CSG PMO staff that participates in the RFI process will be involved in the solicitation process.

CSG has created RFI's for other state modernization efforts. The goal is to create a brief document that is easy for L&I to review and the vendor community to respond; The CSG PMO facilities the creation, publishing and review of the RFI. Based on L&I's direction, the CSG PMO coordinates vendor demonstrations for their responses. This allows all interested vendors a chance to present their solutions to L&I while maintaining the integrity of the solicitation process. The CSG PMO documents the RFI responses in the RFO summary report and reviews the report with L&I stakeholders.

Develop Technical Assessment

The information gathered during the industry research, RFI process and any other available documentation is reviewed by the CSG Team to determine the three best possible solutions to explore as options for a UC Benefits System Modernization. We present the three most viable solutions to the L&I steering Committee. The Steering Committee determines three solutions for the CSG PMO to further analyze.

The three solutions are further analyzed as potential solutions for modernization. The CSG Team conducts a fit analysis on each of the three target solutions. We determine how each system fits L&I's vision and goals. We verify the solutions comply with identified standards of L&I Technology, and Commonwealth ITPs, as well as industry best practices. We also prepare

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estimates for cost and time to modify the system to Commonwealth and L&I standards and requirements as defined below. We conduct follow up interviews with references from organizations with implemented solutions to evaluate their experiences. The CSG PMO documents the three solution options in the **Technical Assessment Deliverable**. The deliverable contains:

- Methodology used to create the assessment
- Description of the functionality in each solution
- Fit analysis of each solution against the existing L&I business requirements
- Quality of Code
- Scalability of the solution architecture
- Extensibility
- Performance of current installations of the solution
- Ease of maintenance and support required from current clients
- Cost and time estimates to implement in the Commonwealth
- Lessons learned implementing each solution
- Alignment with Commonwealth standards

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3.2.3 Requirements Gathering

CSG leverages its UC experience to quickly and efficiently develop the requirements for the new UC Benefits System. For the requirements gathering activities, we add four (4) additional resources to the CSG PMO, two business analysts and two technical writers. The two business analysts each have over five (5) years of UC experience and experience gathering requirements for a ITPs. The additional four team members are responsible for gathering and documenting the functional and non-functional requirements.

The additional staff works alongside of the CSG PMO Business Architect and Senior Technical Architect. The CSG PMO Business Architect and Technical Architect are full time resources throughout the engagement. The CSG PMO is responsible for requirements management for the duration of the project. The CSG Business Architect and Technical Architect ensure that the requirements have been met throughout the implementation of the new UC Benefits Replacement System.

Develop Requirements Management Plan

The CSG PMO completes a Requirements Management Plan that documents how requirements are "To-Be" managed throughout the project. The Requirements Management Plan details how the CSG PMO gathers and documents requirements. The plan describes how Joint Application Requirements (JAR) sessions are conducted as well as expected attendees. The plan defines how TopTeam is utilized and configured. The Requirements Traceability Matrix is defined and how it may be configured in TopTeam. Roles and responsibilities for the CSG PMO, L&I and any involved Vendors are also defined. The Requirements Management Plan is reviewed with L&I PM and signed off prior to the beginning of the requirements gathering activities.

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UI BENEFITS / TAX / APPEALS
REQUIREMENTS DEVELOPMENT

REQUIREMENTS MANAGEMENT PLAN

VERSION 1.0
STATUS: SUBMITTED

Figure 19: Sample Requirements Management Plan

The graphic to the right is a sample cover page and table of contents of a Requirements Management Plan delivered to one of our unemployment compensation clients.

Requirements Kickoff and High Level Requirements

The CSG team conducts a Requirements Kickoff Meeting with L&I staff involved who will be involved in the JAR sessions. The purpose of the kickoff meeting is to explain the requirements gathering process, how the high level requirements and JAR sessions will be facilitated, show some sample requirements, set expectations and answer questions. The meeting is facilitated by the CSG PMO Technical Architect. It is important to show a well thought out approach to L&I staff to help alleviate fear and apprehension of the process.

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Our approach also includes working with L&I Subject Matter Experts (SMEs) to reach out to claimants, employers, and third party administrators to ensure their requirements are reflected. Focus Group workshops are also conducted as part of the requirements gathering process. The CSG Team interviews a select group of employers and claimants to gather feedback about their experience with L&I's benefit processes. Focus Groups provide invaluable insight and experience from external stakeholders. CSG recommends as a best practice establishing a claimant and employer focus groups early on in the project. These groups may be consulted to provide continuous feedback throughout the planning and implementation of the new UC Benefits Replacement System.

The CSG Team conducts three days of high level requirements gathering sessions with key L&I SME's. The purpose of the high level requirements is to identify an initial set of high level standards that the new UC system must fulfill. Each high level requirement must trace to a L&I goal established in the Visioning activities. We also research other pertinent information such as the US Department of Labor (USDOL) State Performance UI Core Measures Score Cards, Pennsylvania UC Laws and Regulations. This information is incorporated into the development of the requirements to ensure the high level and functional requirements address known issues, and aligned with L&I law and policy. The CSG PMO utilizes our CSG REALize℠ baseline UC requirements to facilitate the requirements sessions. We understand that REALize℠ requirements are not a complete set of requirements for certain inclusion in L&I's requirements, but they are beneficial in jump starting the conversation.

The graphic to the right provides a sample from CSG REALize℠ of our baseline UC requirements.

Functional Requirements Gathering Sessions

The CSG Team conducts comprehensive design efforts for all areas of the Benefit Operation during the functional requirements activities. CSG schedules and conducts a series of Joint Application Requirements (JAR) sessions across all functional areas in Benefits. The sessions are attended by L&I SMEs from each functional area. The CSG project manager works with the L&I project manager to schedule the sessions across eight weeks. The schedule is balanced to avoid scheduling conflicts of the L&I SMEs. Each session is estimated to last three hours. Each session is conducted by the CSG PMO onsite in Harrisburg, unless another location is preferable to L&I.

In the JAR sessions, the CSG business analysts and L&I SMEs review the CSG REALize "baseline" requirements customized with the information gathered by the CSG PMO. At the conclusion of the JAR sessions for each functional area, RFP ready functional requirements are documented according to industry standards using a format acceptable to L&I.

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The functional JARs cover the following UC Benefits process areas:

UC Benefit Process Areas	
➢ Claims Intake ➢ Monetary Determination ➢ Non-Monetary Determination ➢ Benefit Payments ➢ Benefit Charging ➢ UI Performs/Management Reporting	➢ Claimant Investigation ➢ Re-employment ➢ Account Maintenance ➢ Reports ➢ Program Review/Audit

UC Appeals Process Areas	
➢ Lower Authority ➢ Higher Authority ➢ UI Performs/Management Reporting	➢ Reports ➢ Program Review

CSG utilizes two distinct JAR Teams. The L&I SMEs who participate in these JAR sessions are identified by the L&I project management team. CSG recommends a lead SME from each area be identified. This lead SME would participate in all JAR sessions to provide continuity throughout the RFP requirements process. Each area has at least one L&I participant per functional area. The key to successfully capturing the requirements is empowerment of the SMEs by the ESC and the L&I project management team to make decisions for their functional area. The functional sessions are conducted by CSG Business Analysts who ensure the requirements from key stakeholders are captured and documented. The CSG Team members have experience in both documenting requirements and responding to RFPs. We leverage our experience to make sure that the requirements are documented so software vendors may read the requirements and respond to the Development and Implementation RFP with minimal questions and a high degree of certainty n the scope of the project. **The functional requirements must describe "What the system needs to do"** not "how it needs to do it." The CSG business analysts are experienced in developing requirements that do not over specify functionality but rather ensure compliance with best practices and L&I laws and policies.

Non-Functional/Technical Requirements

CSG utilizes a repository of "best business practices" technical system requirements for UC Benefit Operations to use as a starting point for gathering RFP-Ready general, non-functional, and architectural technical requirements for a new UC system. These technical requirements are compared and analyzed to the CSG REALize℠ repository which contains over eight hundred best business practice general system requirements, non-functional

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requirements, and technical architectural requirements from our prior engagements. We understand these are not a complete set but serve as a starting point for the review sessions.

The CSG PMO conducts a set of sessions attended by members of L&I's IT staff. These sessions capture system and non-functional requirements, legacy data structures, and ""To-Be"" data structures. They also review the high level Technical Architecture. Our team works to ensure compliance with the Commonwealth's ITPs. The finalized, approved requirements are technology independent and are not tied to any vendor framework. The non-functional and technical requirements are organized by categories such as:

Non-Functional/Technical Requirements	
➢ Archive and backup	➢ Documentation
➢ Input methods and devices	➢ Reports
➢ Interfacing with other applications	➢ Scalability
➢ User interfaces	➢ System availability
➢ Help capability	➢ Usability
➢ Workflow	➢ Quality of the Code
➢ Imaging	➢ Extensibility
➢ Business rules engine	➢ Performance
➢ Query and reporting	➢ Interoperability
➢ Security and audit	➢ Maintainability
➢ Error messages	➢ Supportability

Security Strategy

Every Commonwealth employee, contractor, and vendor has responsibility and accountability for protecting L&I's information technology infrastructure. This includes the protection of hardware, software, data, and personal information regarding constituents and employees. Information technology security is necessary to ensure that no individuals or organizations with malicious intent can effectively harm the infrastructure and thereby prevent providing services and support to L&I and its constituents. The CSG PMO develops a security strategy for the new UC Benefits Replacement System and confirms the functional and non-functional/technical requirements are in alignment.

The Security Strategy underlines every aspect of the planning, development, implementation, and support of the new UC Benefits Replacement System. CSG is experienced in developing and implementing security strategies for individual states and multiple state consortiums. The strategy takes into account requirements and constraints of the new Benefit System.

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CSG's Security Strategy considers the following:

Security Strategy Considerations		
➢ Enterprise Policies ➢ Maintenance ➢ Statutory Authority ➢ Guiding Principles ➢ Responsibilities ➢ Platform Policies ➢ Servers ➢ Network	➢ Virus Protection ➢ Protection for Privacy of Personally Identifiable Data ➢ Protection of Software and other Copyrighted Material ➢ Information and Data Sharing ➢ Surplus Computer Equipment and Media ➢ Workstations	➢ Personnel Security Practices ➢ Physical Security ➢ Incident Response ➢ Off-site Storage and Environmental Controls ➢ Recovery ➢ Computer Use Policy ➢ Business Continuity/Disaster

Functional Requirements Document and Traceability Matrix

The final, approved functional and non-functional requirements from the JAR sessions are submitted for final review to L&I. Once approved, the CSG PMO loads the requirements into TopTeam per the Requirements Management Plan. The functional requirements are traced to the high level requirements and the high-level requirements are the traced to L&I goals. The non-functional and technical requirements are also loaded in TopTeam. The Requirements Tractability Matrix is finalized and a baseline set of requirements is established. The **Detailed Requirements Document and Requirements Traceability Matrix Deliverable** is submitted and approved. The baseline set of requirements is used as an addendum to the UC Benefits Solicitation. For samples of the Functional Requirements Document and Traceability Matrix, see *Appendix B, Project Deliverables.*

3.2.4 Strategy Consulting

The CSG Team compiles results from the UC Systems Assessment, Industry Research and Requirements Gathering activities to develop a comprehensive Technical Road Map providing recommendations for the Commonwealth's UC Benefits System Modernization. The Technical Road Map provides a detailed plan to implement the L&I requirements with no disruption to UC operations and minimal rework. CSG provides an overall analysis of the potential approaches, cost benefit analysis, identification of associated risks and strategies for mitigation in alignment with the L&I goals and objectives.

Create a Technical Roadmap

The CSG Team consults with L&I to determine the optimal order for developing components of the UC Benefit system. The CSG PMO provides its subject matter expertise from CSG's Centers of Excellence℠, CSG REALize℠, and our comprehensive experience with other modernization projects with other states and consortiums. We determine the most practical project phases based on business expectations and technical constraints in order to implement the system in the most efficient manner, with little rework and no interruptions to service delivery. We determine which functionality may be developed/implemented as logical components (such as

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initial claims, continued claims, adjudication, appeals, and benefit payments). We identify interfaces to legacy and external systems needed to support the approach. The Technical Roadmap includes a strategy for developing a back-bridge to the tax and wage applications.

In developing the Technical Roadmap, CSG considers multiple business case scenarios, including but not limited to:

- L&I vision and goals
- Staffing requirements
- Implementation impacts on existing operations
- Legacy system expected lifecycle
- Federal reporting periods
- Benefit and impact to claimants
- Benefit and impact for employers
- Benefit and impact on stakeholders
- L&I management priorities
- Existing infrastructure
- Available funding
- Cost benefit analysis
- Return on Investment

The CSG Team also identifies the risks associated with various factors and creates appropriate mitigation strategies based on lessons learned in multiple prior UC Modernization projects. The CSG team determines, in collaboration with L&I, the necessary steps required to implement the system, including time required, overall cost, and the full range of impacts to L&I operations and demands on L&I staff.

Cost Benefit Analysis

As part of developing the Technical Roadmap, The CSG Team constructs a cost/benefit analysis comparing viable remediation and implementation options for L&I's consideration. The resulting **cost/benefit analysis contains one-time and on-going costs and benefits of the project**, including:

- Hardware purchase and maintenance
- Software purchase and maintenance
- Licensing purchase and maintenance
- Initiation and planning, implementation, installation, testing, and training
- Support, including additional resources needed to maintain the new system

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- Intangible costs and benefits such as staff time and effort
- Net cost reduction or program savings/benefits as a result of the new system

We calculate the intended benefits; set goals/targets for the implementation (reduction in expenditures, process improvement, reduction in fraud/abuse, quality improvement); present value analysis; analyze financial benefits (cost savings, cost avoidance, productivity improvements); and, assess how well each system adheres to Commonwealth standards and security policies. Finally, we include the overall return on investment for each recommended strategy. These cost/benefit analyses are then compiled into the Technical Roadmap.

Deployment Strategy Options

The Technical Road Map includes approaches to deployment options. The CSG Team consults with L&I to understand the business and technology drivers which define deployment strategy options. These options are important when evaluating responses to the UC Benefits solicitation. CSG assists with identifying appropriate functional, implementation, and operation partners for future development efforts, recognizing L&I may or may not proceed with all possible development efforts. Our experience in multiple UC implementation projects, has taught us that deployment strategies have a significant, direct, impact on staff, claimants, and employers.

Our Deployment Strategy options consider impacts in key areas including, but not limited to:

- Data conversion
- System and integration testing
- User acceptance testing (UAT)
- User training

The **Technical Road Map Deliverable** is reviewed and approved by the L&I Executive Steering Committee. The Technical Road Map is utilized by the CSG PMO as a key input for developing Statement of Work for the UC Benefits Development and Implementation Solicitation. The Statement of Work must clearly communicate L&I's approach and vision to implementing the new system.

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3.2.5 Task Hours by Role

CSG provides the table below detailing the roles and hours used to complete the Pre-Solicitation task.

Role and Resource	Hours
Business Architect/Policy Writer *Fairy Curtis*	816
Business Analyst *Neetha Karkala* *Kristie Gardner*	1,920
Senior Technical Architect* *Korol Taylor*	976
Technical Writer *Gayle Kohr*	1,136
Technical Writer *Nisarg Gopinath Upadhyay* *Rajshree Koirala*	1,120

**CSG has consolidated some of the roles detailed in the RFQ. Please see Section 5.1, Key Personnel for a Roles Matrix detailing these role consolidations.*

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3.3 Solicitation and Procurement

The bulk of the Statement of Work (SOW) and RFP and is comprised of deliverables from earlier phases of the Pre-Solicitation work and documents produced by CSG and L&I. CSG drafts an SOW and RFP ensuring delivery of the required solution for consideration by L&I. The SOW and RFP adhere to all applicable Commonwealth and L&I procurement guidelines. The CSG Team is engaged throughout the development of RFP and SOW, vendor proposal evaluation and the final selection of the implementation vendor.

3.3.1 Statement of Work Development

In drafting the SOW, CSG uses a variety of sources of information and resources to produce an effective RFP that allows L&I to select a solution aligned with L&I's goals and objectives. Interviews with stakeholders and output from the earlier Pre-Solicitation phase provide the basis of the SOW and RFP. CSG follows L&I standards as well as the Commonwealth ITPs in drafting the documents.

CSG uses a three-step development process to draft a complete SOW and RFP. Our approach incorporates review cycles throughout the process gathering stakeholder feedback to ensure the SOW and RFP meet the requirements and standards defined during the Pre-Solicitation work.

- As a value-add CSG's Proposal Development Center (PDC) drafts the SOW, RFP and vendor response templates, as well analyzes and reviews subsequent draft documents. The PDC is internal to CSG and highly experienced with both creating and responding to solicitations, and will provide insights helpful to L&I.
- Upon L&I approval of the solicitation templates, CSG develops of the draft SOW and RFP for review and approval.
- The third step is creation of the proposed final RFP, and SOW with all components and appendices for consideration by L&I.

The SOW and RFP provide specific and detailed requirements and deliverables necessary to ensure the full scope of work and project expectations are identified for vendors. CSG creates the SOW and RFP using L&I's approved template and includes all required information including but not limited to the following:

- Project objectives
- Descriptions of all functional areas of the new UC Benefit system
- Identification of Activities/Tasks required of the Development and Implementation vendor
- High-level descriptions of each activity
- Definitions of tasks within each activity and specific detailed deliverables for each task. Each task will be specific, measurable, and time constrained.

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CSG builds the SOW and RFP using various sources of information, the bulk of which come from the earlier work completed during the Pre-Solicitation phase. This source work provides information to form a solid foundation for a successful and effective SOW and RFP. Primary source documents include:

- Project Management Plans and Documents
- Functional Requirements Document, including Traceability Matrix Section 3.2.3
- Technical Assessment Document, described in Section 3.2.3
- Technical Road Map, described in Section 3.2.5

In addition, the CSG Team provides ongoing Negotiation Support during the Solicitation and Procurement phase. This support function is described in detail in Section 3.3.4.

3.3.2 Solicitation Package

CSG has extensive experience in developing SOWs and RFPs, as well as responding to RFPs. We leverage our experience with other states and consortiums to ensure the Solicitation Package is fully integrated, complete, and updated as necessary.

The Solicitation Package contains all of the information necessary to provide vendors with the understanding of the full scope, purpose, and objectives of the services being purchased for the Commonwealth as defined in the SOW. The Solicitation Package is maintained and updated periodically throughout the Solicitation and Procurement Phase. Several solicitation contributing activities inform a complete and integrated Solicitation Package, and may necessitate the need for updates and addendums. The following sections define these contributing activities in more detail

Evaluation and Award

As a best practice, CSG implements a standardized and repeatable approach to solicitation evaluation "To-Be" applied by L&I consistently across all respondent proposals.

CSG works with L&I to select an Evaluation Committee that properly represents the various groups impacted by the UC Benefit Modernization selection process.

Having a comprehensive proven framework to review, evaluate, and score vendor proposals is key to mitigating the risk of vendor protests after award and building confidence that the chosen solution is the best option for the Commonwealth. CSG's Proposal Evaluation Plan (PEP) provides an objective, and repeatable approach to reviewing and scoring large complex proposals. Our approach is outlined below:

- **Develop Scoring Criteria.** Individual evaluation criteria are identified that relate directly to the purpose or objective of a particular area in order to truly discriminate between proposals. Care is taken for these criteria "To-Be" mutually exclusive, or demonstrate they do not correlate with one another. CSG facilitates sessions with the Evaluation Committee to develop scoring criteria and weighting to provide the best fit for L&I goals and objectives. From the requirements developed as part of the Pre-Solicitation phase,

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CSG uses L&I best practices and industry best practices as a starting point, along with any Commonwealth procurement standards.

- **Develop Scoring Algorithms**. CSG advises L&I regarding categories of criteria developed to evaluate each of the Solicitation sections, and are weighted by their importance to achieving goals and objectives for the UC Benefit Modernization Project. Each criterion within a category is assigned a numerical score from a ranking scale. The resulting score is a function of the criterion score multiplied by the category weight to produce a weighted score aligned with the total points allotted for that section. The scorecard sums the results to create a final score for each response.

The CSG Initial Stage Gate Checklist is a powerful tool for supporting initial review of the responses by L&I and the Evaluation Committee to determine basic compliance and feasibility of the approach. Elements of the Checklist are included below:

- **Conduct Initial Stage Gate Assessment**. Each proposal receives an initial review, or qualification, to determine whether or not a more focused evaluation is warranted. Factors influencing the decision to move the proposal on to the next level of review include:
  - ✓ **Stage 1: Material Deficiencies** – Failure to include a response to all Mandatory Requirements and/or addendums not acknowledged
  - ✓ **Stage 2: Technical Deficiencies** – Failure to address all Technical Proposal Requirements
  - ✓ **Stage 3: Feasibility** – Technical solution not adequately supported in the proposal
  - ✓ **Stage 4: Organizational Structure and Personnel** – Respondent has a sound organizational structure, project plan, and the key personnel identified to ensure a successful implementation
- Advanced to Full Criteria-based Scoring Model. Once a respondent clears all initial gates, the respondent proceeds to the full scoring model executed by the Evaluation Committee. CSG consults with L&I on the Scoring Criteria and Scoring Algorithms developed in the PEP to execute the Full Criteria-Based Scoring Model.

The results of the Initial Assessment (Stage Gate Assessment) and subsequent criteria-based scoring model are inputs to a comprehensive report that outlines the results of the evaluation of each proposal.

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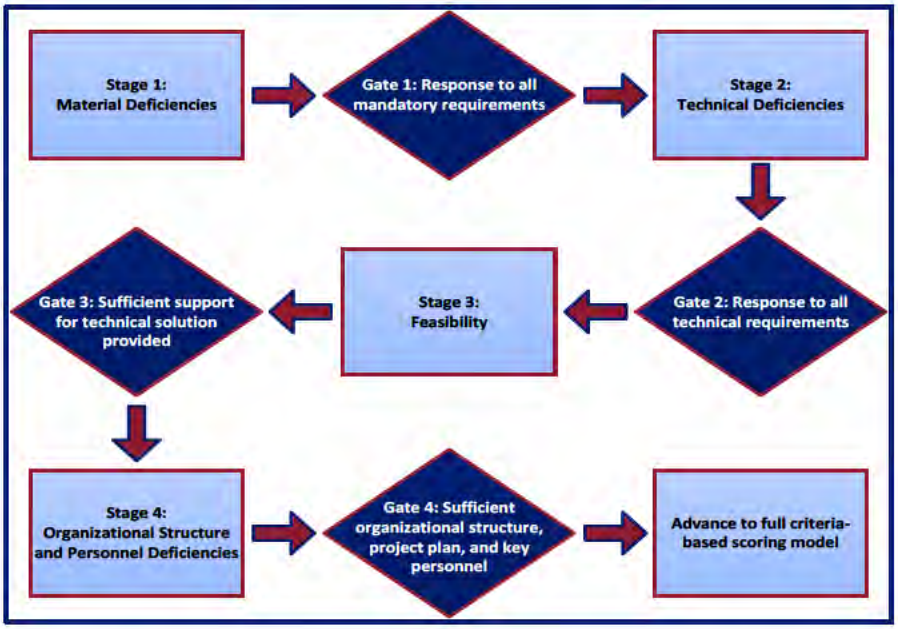

Figure 20: CSG's Evaluation Framework – CSG follows a methodical approach in weighting and scoring vendor responses

Vendor Questions and Answers

Our goal is to structure the solicitation to minimize ambiguity and reduce the number of questions from vendors. However, we recognize the limits of text based methods and anticipate the need to receive and respond to inquiries from prospective vendors. It is imperative that the responses be clear, concise, and tracked.

The CSG Team works with L&I to finalize the question and answer process, including data required to submit an inquiry or request for clarification, and the method of identifying both the vendor who submitted the inquiry and the related section of the solicitation document it pertains to. Once L&I has approved the solicitation, and it is posted to the Commonwealth's approved website, we initiate the tracking process and then compile all the responses into the **TeamCSG℠ Vendor Inquiry Tracking List** tool. Data tracked includes information on the vendor who submitted the

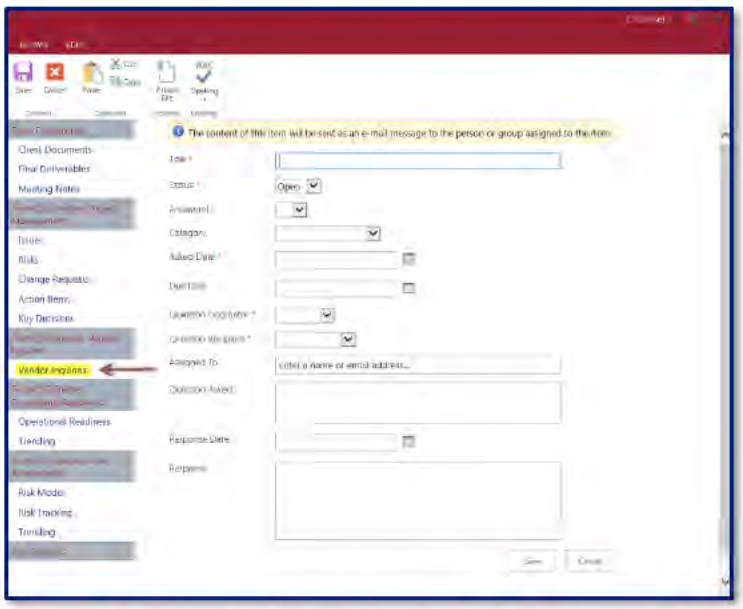

Figure 21: *TeamCSG℠ Vendor Inquiry Tracking List tool* – This tool collects and tracks vendor inquiries, and the image above displays the vendor inquiry entry page.

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inquiry, the date, related section of the solicitation, and other data as agreed upon with L&I.

After careful review of the comments and questions with L&I, the CSG Team creates a recommendations document that is submitted to L&I for consideration. CSG recommendations include a draft response to the inquiry, and may include recommendations for content or language revisions within the solicitation document. Sources for recommended changes include comments from prospective vendors, and input from stakeholders. Once consensus is reached on the recommendations, CSG executes the final response plan based on decisions made by L&I. This includes finalizing responses to inquiries and potentially creating an addendum to the solicitation, and finally posting the updated information to the site.

Oral Presentations

L&I can conduct oral presentations with all vendors or with the highest ranking vendors after review of all written proposals. Inviting vendors in for oral presentations to discuss their potential solutions provides a valuable opportunity for L&I to learn more about options, organizations, and personnel. The CSG Team coordinates and facilitates oral presentations with L&I, including product demonstrations from vendors that meet specific requirements.

The CSG approach in facilitating the oral presentations is to ensure L&I obtains the information it requires from the vendors to make an informed decision on which solution is the best for the Commonwealth.

Our framework includes a structured agenda where the vendors are treated identically and have equal time for a presentation, questions, and demonstration. It is important that all presentations be strictly limited in duration. Working with L&I and the Evaluation Committee, CSG develops advance written questions as well as “real-time” oral questions. There may be specific questions unique to each vendor to clarify their proposal, and the agenda includes time at the end of the presentation for vendors to discuss additional features and benefits of their system not highlighted in the structured interview process. These sessions may have a material impact on a successful implementation. This type of a structured agenda reduces the risk of bid protests after award, increases the confidence in successfully procuring a solution that meets the needs and desires of L&I, and provides L&I the opportunity to assess vendor personnel.

CSG also advises L&I on facilities, invitations, schedules, and presentation evaluation criteria. It is important there is enough time between presentations for the Evaluation Committee to complete the evaluation for each presentation before new presentations take place, and our methodology for coordinating the orals presentation process accounts for this.

Final Selection and Recommendation Report

Once the written evaluation and the oral presentations are completed, CSG consults with L&I to prepare a final evaluation report including a summary of the selection process and an analysis and recommendation for the vendor who best meets the selection criteria.

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3.3.3 Subject Matter Expertise

The CSG Team utilizes our UI, technical architecture, project management, and the CSG Proposal Development Center subject matter expertise throughout the Solicitation and Procurement Phase. The same CSG Team members that developed the Technical Assessment, Technical Road Map and requirements in the Pre-Solicitation phase are engaged and advise L&I throughout this phase. This ensures continuity between project phases, reduces the chance for solicitation protests, and supports an efficient and effective foundation for successfully delivering the UC Benefit Modernization Project.

As your trusted advisor, CSG provides guidance and recommendations to L&I, and is vested in your success. To maintain the integrity of the solicitation and procurement process the CSG Team does not participate in any voting or scoring activities, and functions in a non-voting, non-scoring capacity.

3.3.4 Negotiation Support

CSG provides strong negotiation support through its exceptional subject matter expertise, experience and knowledge of UC. In addition, we have described throughout the proposal our understanding of industry best practices and experience with single states and consortiums. This experience provides L&I expert support during the negotiation process, and in the development of a strong and enforceable contract with the selected vendor.

Upon successful completion of the negotiation process the CSG Team provides the finalized Statement of Work and all appendices that clearly define the services and requirements the implementation vendor must deliver to L&I for the UC Benefit Modernization Project. CSG provides these finalized documents for the contract as required by the Commonwealth.

3.3.5 Task Hours by Role

CSG provides the table below detailing the roles and hours used to complete the Solicitation and Procurement task.

Role	Hours
Business Architect/Policy Writer *Fairy Curtis*	1,044
Senior Technical Architect* *Korol Taylor*	1,072
Technical Writer *Gayle Kohr*	224

**CSG has consolidated some of the roles detailed in the RFQ. Please see Section 5.1, Key Personnel for a Roles Matrix detailing these role consolidations.*

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3.4 Optional Implementation Oversight

We Want You to Succeed

Our proactive and collaborative IV&V approach helps mitigate risk factors and address critical problems before they occur. We have assembled a team that combines IV&V experience with experience on large UC projects and implementations. **We believe in** an approach to IV&V services that focuses on **minimizing the risks** associated with large, complex projects, such as the implementation of a UC Benefits Replacement System. CSG continuously monitors the project to ensure that plans and procedures are being followed throughout the life of the project, identifying any potential issues that may be detected. We provide monthly IV&V Project Status Reports, meet weekly with the L&I Project Sponsor and meet monthly with your Executive Steering Committee (ESC) to make sure we highlight key observations and recommendations to keep stakeholders informed of risks and issues as they occur – **we do not hold critical information for the next report**. By working collaboratively throughout the process, there are **no surprises** when we deliver the monthly IV&V Project Status Reports.

CSG is committed to providing Independent Verification and Validation services that contribute to the success of this project. Our investment in developing standards-based methodologies provides the foundation for a set of customized tools to meet your needs to verify, validate, and mitigate risk. Our customizable tools jumpstart the project and our risk management approach facilitates our partnership with you to find actionable risk management solutions. While many vendors offer “methodologies”, we combine that with valuable tools and IV&V analysts who have first-hand knowledge of UC.

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CSG IV&V Project Organization Chart

CSG provides our organization chart for the Optional Implementation Oversight services below.

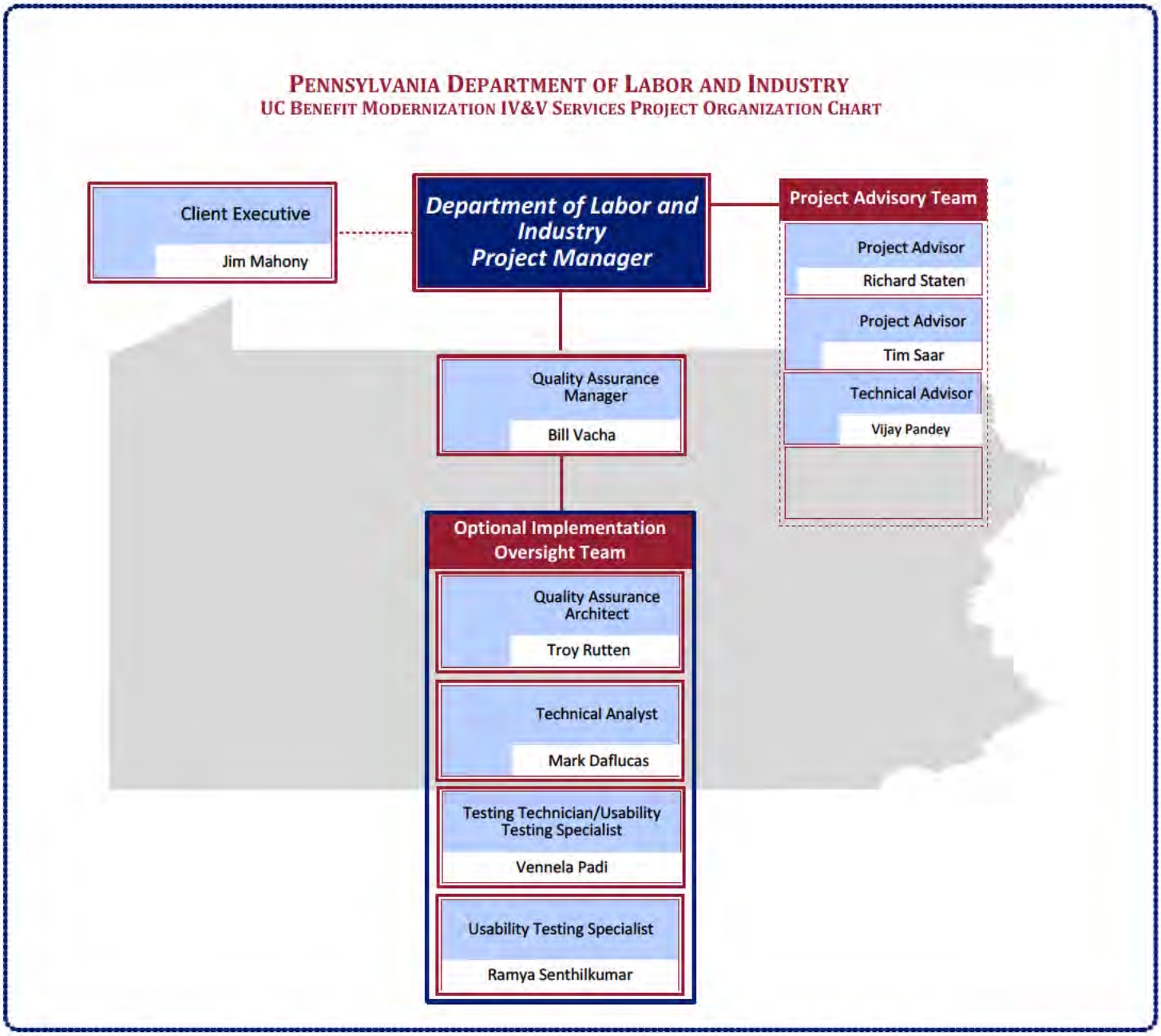

Figure 22: CSG's IV&V Services Project Organization Chart – CSG's project organization clearly defines project roles and illustrates lines of authority and reporting.

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IV&V Project Independence

We are solution agnostic. As an independent IV&V vendor, CSG Government Solutions, Inc. does not have relationships with any DDI Contractors involved in any UC implementation solutions. We are your independent and trusted adviser.

CSG recognizes the importance of actively engaging in the project while maintaining strict technical and managerial independence from the day-to-day activities and management of the project. CSG achieves this independence by setting up a governance structure, processes, and tools to maintain impartiality.

- **Governance** – The CSG IV&V Project Manager reports directly to the L&I Project Sponsor, providing the foundation for successful independence. This structure is conducive to an environment where the team can provide unbiased observations and recommendations, ensuring both the L&I project team and DDI Contractor perspectives are given fair consideration and promotes the opportunity for compromise when issues need resolution.
- **Independent CSG Project Teams** – We will utilize the model that has been successfully used on previous projects in which we have had multiple project roles. In order to ensure the CSG IV&V and PMO teams are both independent yet work together for the good of L&I, the teams:
  - ✓ Will have separate project managers
  - ✓ Will have separate team members
  - ✓ Have separate reporting structures. The IV&V team reports directly to the L&I Project Sponsor, not the PMO Project Manager
  - ✓ Will define their responsibilities and communication patterns in their respective project management plans.
- **Processes** – Objectivity is the foundation for our processes. To achieve this, we incorporate a sound IV&V Methodology (described below) and well-developed processes and checklists, including a comprehensive deliverables review process. Some key attributes of our processes include:
  - ✓ **Deliverable Review Acceptance Criteria and Checklists** – Our team reviews the Commonwealth policies and standards, system requirements, industry standards, and best practices as inputs into the checklist development and refinement process ensuring L&I's concurrence of the acceptance criteria. Our team applies these checklists to objectively review a deliverable for correctness, accuracy, completeness, and readability.
  - ✓ **Assessments** – Standard within our methodology, our team identifies specific key processes to review to provide L&I with an objective perspective so that informed decisions can be made. We define industry standard inputs, deliverables, and

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anticipated meetings, and we work with the L&I Project Sponsor to participate in the appropriate meetings.

- ✓ **Review of PMO work** – Our IV&V team will assess the artifacts developed by the CSG PMO team based on the implementation of the processes defined in the PMO project plan using the *TeamCSG℠ Risk Assessment Model* which will be used to assess all aspects of the UC Benefit Modernization Project. The results of the assessment will be included with all other assessed items as defined in the Project Execution and Project Monitoring and Control portions of Section 3.4.1.

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IV&V Timeline and Initial WBS (Project Schedule)

The following timeline is a summary of the activities CSG performs for the UC Benefits Modernization IV&V Services phase of the project. Immediately following the timeline is our Initial WBS (Project Schedule) for the Optional Implementation Oversight.

IV&V Timeline

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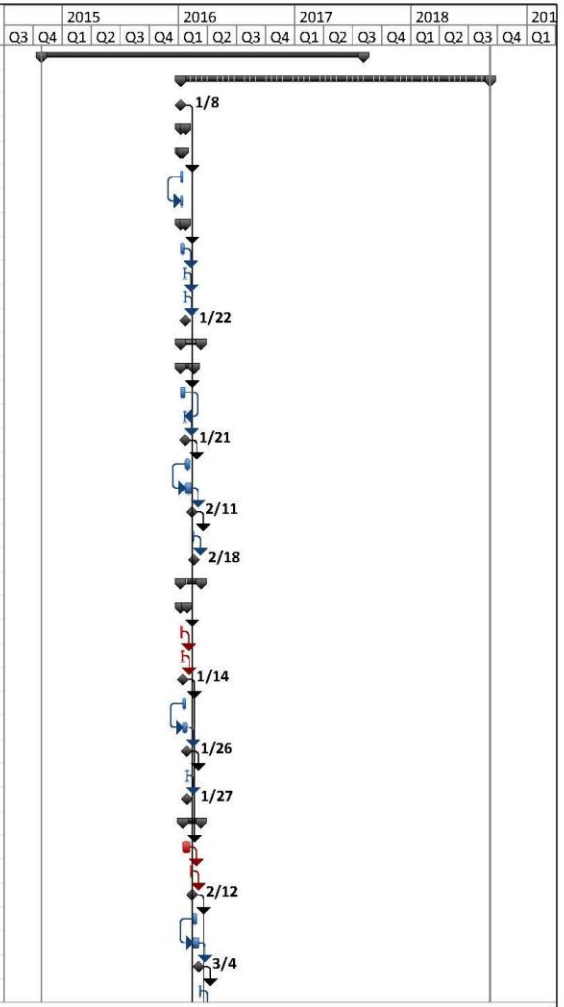
IV&V WBS (Project Schedule)

ID	Task Mode	Task Name	Start
1		**PA UC Benefits Modernization PMO Services**	**Mon 10/27/14**
254		**PA UC Benefits Modernization Implementation Oversight (Optional Service)**	**Fri 1/8/16**
255		**IV&V Project Start Date**	**Fri 1/8/16**
256		**IV&V Project Initiation**	**Fri 1/8/16**
257		**Project SharePoint Site**	**Fri 1/8/16**
258		Configure Project SharePoint Site	Fri 1/8/16
259		Configure TeamCSG Project Risk and Issue Tracker	Fri 1/8/16
260		**Project Kickoff Meeting**	**Fri 1/8/16**
261		Prepare Project Kickoff Meeting Agenda	Fri 1/8/16
262		Conduct Project Kickoff Meeting	Wed 1/20/16
263		Prepare and Distribute Project Kickoff Meeting Summary	Thu 1/21/16
264		**IV&V Project Initiation Complete**	**Fri 1/22/16**
265		**IV&V Project Planning**	**Fri 1/8/16**
266		**IV&V Work Breakdown Structure (Project Schedule)**	**Fri 1/8/16**
267		Develop: Draft WBS (Project Schedule)	Fri 1/8/16
268		Internal QA Review: Draft IV&V WBS (Project Schedule)	Wed 1/20/16
269		**Submitted: Draft IV&V WBS (Project Schedule)**	**Thu 1/21/16**
270		Commonwealth Review: Draft IV&V WBS (Project Schedule)	Fri 1/22/16
271		Finalize: Draft IV&V WBS (Project Schedule)	Fri 1/22/16
272		**Submitted: Final IV&V WBS (Project Schedule)**	**Thu 2/11/16**
273		Commonwealth Review: Final IV&V WBS (Project Schedule)	Fri 2/12/16
274		**Approved: Final IV&V WBS (Project Schedule)**	**Thu 2/18/16**
275		**IV&V Management Plan**	**Fri 1/8/16**
276		**IV&V Management Plan Deliverable Expectation Document**	**Fri 1/8/16**
277		Develop: Draft IV&V Management Plan DED	Fri 1/8/16
278		Internal QA Review: Draft IV&V Management Plan DED	Wed 1/13/16
279		**Submitted: Draft IV&V Management Plan DED**	**Thu 1/14/16**
280		Commonwealth Review: Draft IV&V Management Plan DED	Fri 1/15/16
281		Finalize: Draft IV&V Management Plan DED	Fri 1/15/16
282		**Submitted: Final IV&V Management Plan DED**	**Tue 1/26/16**
283		Commonwealth Review: Final IV&V Management Plan DED	Wed 1/27/16
284		**Approved: Final IV&V Management Plan DED**	**Wed 1/27/16**
285		**IV&V Management Plan**	**Fri 1/15/16**
286		Develop: Draft IV&V Management Plan	Fri 1/15/16
287		Internal QA Review: Draft IV&V Management Plan	Mon 2/8/16
288		**Submitted: Draft IV&V Management Plan**	**Fri 2/12/16**
289		Commonwealth Review: Draft IV&V Management Plan	Mon 2/15/16
290		Finalize: Draft IV&V Management Plan	Mon 2/15/16
291		**Submitted: Final IV&V Management Plan**	**Fri 3/4/16**
292		Commonwealth Review: Final IV&V Management Plan	Mon 3/7/16



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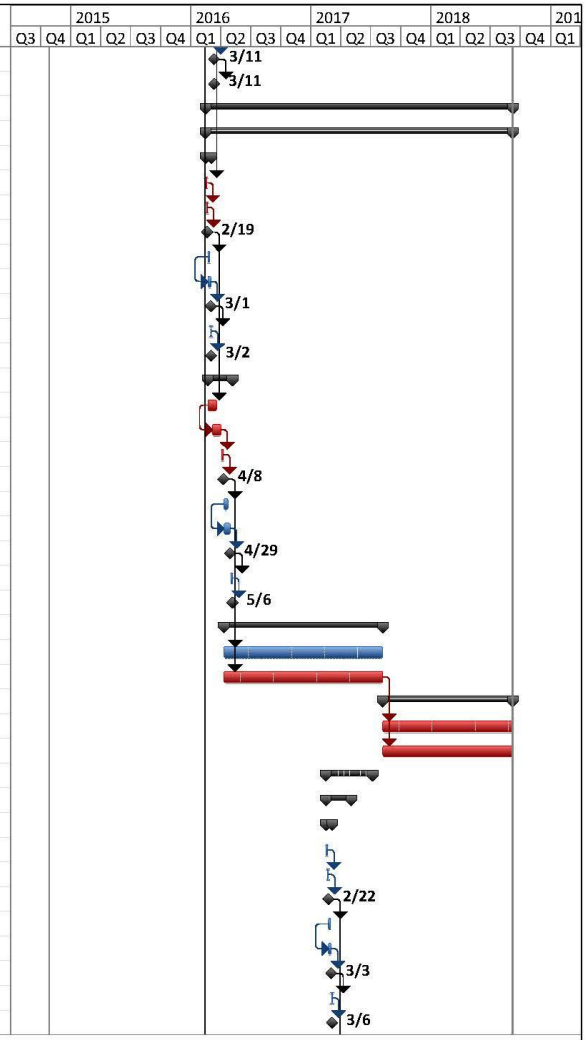
ID	Task Mode	Task Name	Start
293		**Approved: Final IV&V Management Plan**	**Fri 3/11/16**
294		**IV&V Project Planning Complete**	**Fri 3/11/16**
295		**IV&V Project Execution**	**Mon 2/15/16**
296		**Assessment Report**	**Mon 2/15/16**
297		**Assessment Report Deliverable Expectation Document**	**Mon 2/15/16**
298		Develop: Draft Assessment Report DED	Mon 2/15/16
299		Internal QA Review: Draft Assessment Report DED	Thu 2/18/16
300		**Submitted: Draft Assessment Report DED**	**Fri 2/19/16**
301		Commonwealth Review: Draft Assessment Report DED	Mon 2/22/16
302		Finalize: Draft Assessment Report DED	Mon 2/22/16
303		**Submitted: Final Assessment Report DED**	**Tue 3/1/16**
304		Commonwealth Review: Final Assessment Report DED	Wed 3/2/16
305		**Approved: Final Assessment Report DED**	**Wed 3/2/16**
306		**Initial Assessment Report**	**Mon 2/22/16**
307		Conduct Initial Assessment	Mon 2/22/16
308		Develop: Draft Assessment Report	Mon 3/7/16
309		Internal QA Review: Draft Assessment Report	Mon 4/4/16
310		**Submitted: Draft Assessment Report**	**Fri 4/8/16**
311		Commonwealth Review: Draft Assessment Report	Mon 4/11/16
312		Finalize: Draft Assessment Report	Mon 4/11/16
313		**Submitted: Final Assessment Report**	**Fri 4/29/16**
314		Commonwealth Review: Final Assessment Report	Mon 5/2/16
315		**Approved: Final Assessment Report**	**Fri 5/6/16**
316		**Monthly Assessment Reports**	**Mon 4/11/16**
317		Update IV&V Checklists (Monthly)	Mon 4/11/16
318		Deliverable: Develop and Submit Monthly Assessment Reports	Mon 4/11/16
319		**Bi -Monthly Assessment Reports**	**Tue 8/8/17**
320		Update IV&V Checklists (Bi-Monthly)	Tue 8/8/17
321		Deliverable: Develop and Submit bi-Monthly Assessment Reports	Tue 8/8/17
322		**Validation Testing**	**Thu 2/16/17**
323		**Test Plans**	**Thu 2/16/17**
324		**Test Plans Deliverable Expectation Document**	**Thu 2/16/17**
325		Develop: Draft Test Plans DED	Thu 2/16/17
326		Internal QA Review: Draft Test Plans DED	Tue 2/21/17
327		**Submitted: Draft Test Plans DED**	**Wed 2/22/17**
328		Commonwealth Review: Draft Test Plans DED	Thu 2/23/17
329		Finalize: Draft Test Plans DED	Thu 2/23/17
330		**Submitted: Final Test Plans DED**	**Fri 3/3/17**
331		Commonwealth Review: Final Test Plans DED	Mon 3/6/17
332		**Approved: Final Test Plans DED**	**Mon 3/6/17**



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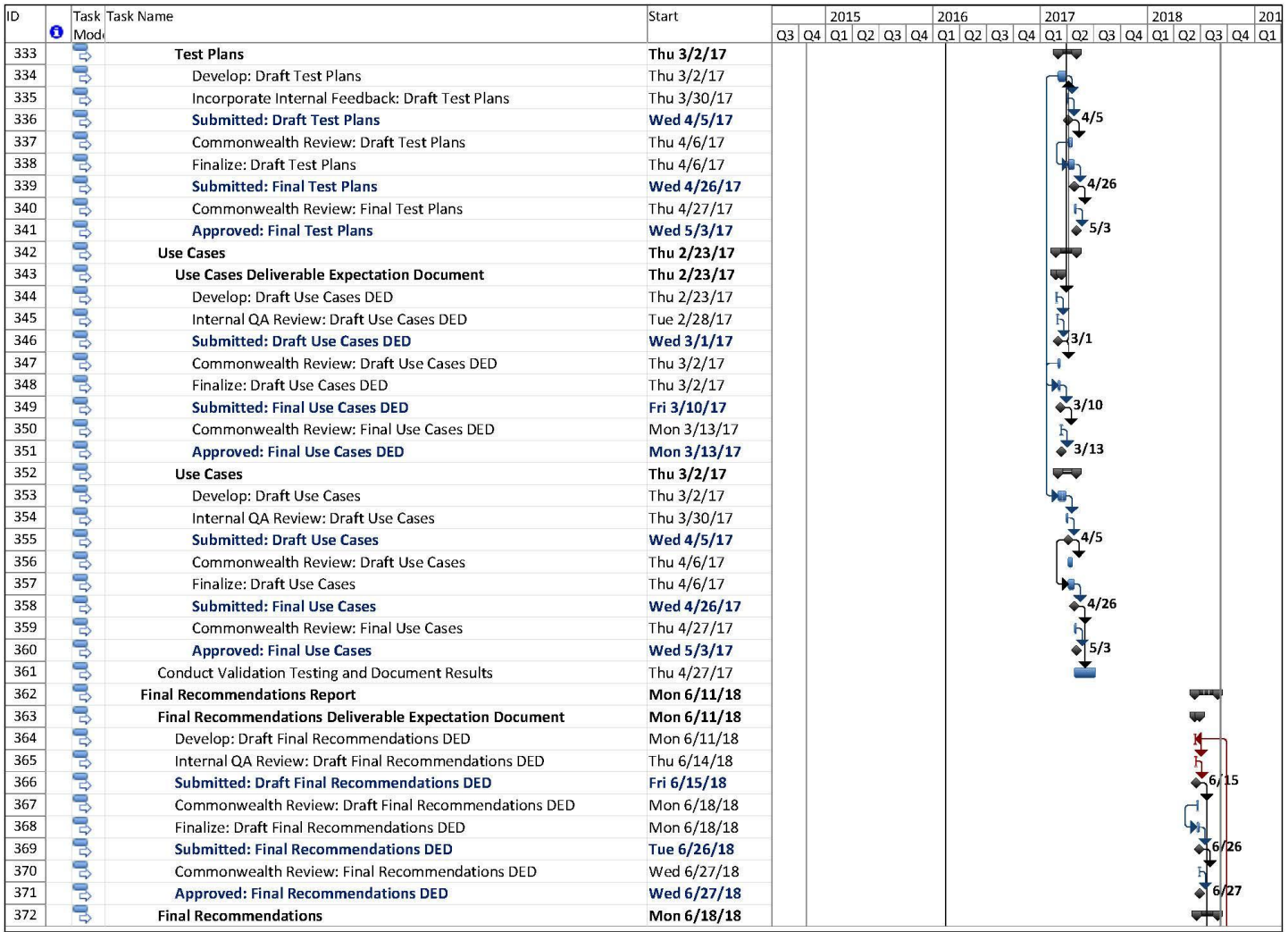

ID	Task Mode	Task Name	Start
333		**Test Plans**	**Thu 3/2/17**
334		Develop: Draft Test Plans	Thu 3/2/17
335		Incorporate Internal Feedback: Draft Test Plans	Thu 3/30/17
336		**Submitted: Draft Test Plans**	**Wed 4/5/17**
337		Commonwealth Review: Draft Test Plans	Thu 4/6/17
338		Finalize: Draft Test Plans	Thu 4/6/17
339		**Submitted: Final Test Plans**	**Wed 4/26/17**
340		Commonwealth Review: Final Test Plans	Thu 4/27/17
341		**Approved: Final Test Plans**	**Wed 5/3/17**
342		**Use Cases**	**Thu 2/23/17**
343		**Use Cases Deliverable Expectation Document**	**Thu 2/23/17**
344		Develop: Draft Use Cases DED	Thu 2/23/17
345		Internal QA Review: Draft Use Cases DED	Tue 2/28/17
346		**Submitted: Draft Use Cases DED**	**Wed 3/1/17**
347		Commonwealth Review: Draft Use Cases DED	Thu 3/2/17
348		Finalize: Draft Use Cases DED	Thu 3/2/17
349		**Submitted: Final Use Cases DED**	**Fri 3/10/17**
350		Commonwealth Review: Final Use Cases DED	Mon 3/13/17
351		**Approved: Final Use Cases DED**	**Mon 3/13/17**
352		**Use Cases**	**Thu 3/2/17**
353		Develop: Draft Use Cases	Thu 3/2/17
354		Internal QA Review: Draft Use Cases	Thu 3/30/17
355		**Submitted: Draft Use Cases**	**Wed 4/5/17**
356		Commonwealth Review: Draft Use Cases	Thu 4/6/17
357		Finalize: Draft Use Cases	Thu 4/6/17
358		**Submitted: Final Use Cases**	**Wed 4/26/17**
359		Commonwealth Review: Final Use Cases	Thu 4/27/17
360		**Approved: Final Use Cases**	**Wed 5/3/17**
361		Conduct Validation Testing and Document Results	Thu 4/27/17
362		**Final Recommendations Report**	**Mon 6/11/18**
363		**Final Recommendations Deliverable Expectation Document**	**Mon 6/11/18**
364		Develop: Draft Final Recommendations DED	Mon 6/11/18
365		Internal QA Review: Draft Final Recommendations DED	Thu 6/14/18
366		**Submitted: Draft Final Recommendations DED**	**Fri 6/15/18**
367		Commonwealth Review: Draft Final Recommendations DED	Mon 6/18/18
368		Finalize: Draft Final Recommendations DED	Mon 6/18/18
369		**Submitted: Final Recommendations DED**	**Tue 6/26/18**
370		Commonwealth Review: Final Recommendations DED	Wed 6/27/18
371		**Approved: Final Recommendations DED**	**Wed 6/27/18**
372		**Final Recommendations**	**Mon 6/18/18**

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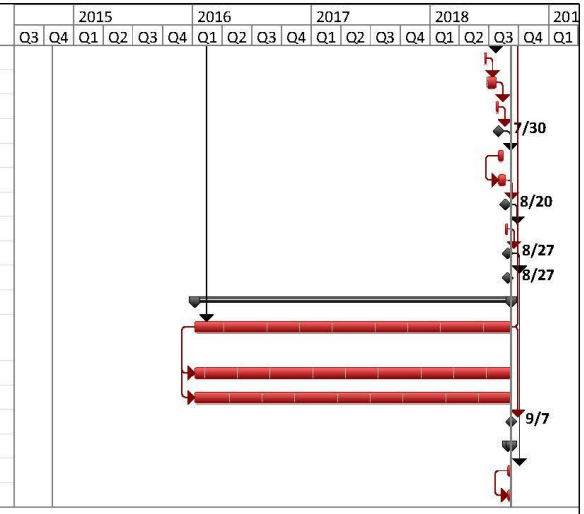
ID	Task Mode	Task Name	Start
373		Perform Interviews with System Stakeholders	Mon 6/18/18
374		Develop: Draft Final Recommendations	Mon 6/25/18
375		Internal QA Review: Draft Final Recommendations	Tue 7/24/18
376		**Submitted: Draft Final Recommendations**	**Mon 7/30/18**
377		Commonwealth Review: Draft Final Recommendations	Tue 7/31/18
378		Finalize: Draft Final Recommendations	Tue 7/31/18
379		**Submitted: Final Recommendations**	**Mon 8/20/18**
380		Commonwealth Review: Final Recommendations	Tue 8/21/18
381		**Approved: Final Recommendations**	**Mon 8/27/18**
382		**IV&V Project Execution Complete**	**Mon 8/27/18**
383		**IV&V Project Monitoring and Control**	**Fri 1/8/16**
384		Perform IV&V Project Management Activities, Status Reporting and Status Meetings (Weekly)	Fri 1/8/16
385		Perform IV&V Management Plan Monthly Review and Updates	Fri 1/8/16
386		Performance Monitoring, Code Reviews, Data Conversion Validation	Fri 1/8/16
387		**IV&V Project Monitoring and Control Complete**	**Fri 9/7/18**
388		**IV&V Project Closeout**	**Tue 8/28/18**
389		Collect Lessons Learned and Conduct Session	Tue 8/28/18
390		Archive Project Library	Tue 8/28/18



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3.4.1 CSG IV&V Methodology

Verification and Validation are two interrelated disciplines, sharing many techniques and skill requirements, yet focused on different perspectives of the same effort. *Validation* focuses on achieving the objectives of the project as they were envisioned at the outset, and that the result correctly addresses the precise needs of the Commonwealth. *Verification* focuses on the processes being used to meet those objectives to ensure a quality product is efficiently developed in accordance with best practices. CSG approaches these two disciplines holistically, leveraging the synergies between the areas of focus and the skills necessary to accomplish these tasks, to establish Independent Verification and Validation (IV&V) teams that collectively address all the activities required to ensure that interests of the Commonwealth are being fully met. To do so, CSG focuses on three key aspects of every IV&V effort:

- **Product** – Is the right product being built?
- **Process** – Are the proper processes and methods being used consistently?
- **Progress** – Is the forward motion of the effort moving as expected and appropriate, given the complexity of the project?

Independent Verification and Validation is a major service offering of CSG and the Commonwealth benefits from our proven methodology, processes, and tools.

- CSG customizes our proven IV&V Methodology, processes, and tools to target the L&I's needs, and meet them.
- CSG's Centers of Excellence support our proven IV&V methodology to help ensure the success of Commonwealth projects.
- CSG's IV&V approach adheres to industry standards and best practices and is easily customized in order to deliver quality IV&V services for the Commonwealth.

Effective IV&V services require a thorough understanding of the full landscape of a project. In addition to focusing on IV&V industry best practices, CSG brings years of practical experience with large-scale system replacements, implementations, and enhancements. Our teams also have experience providing strategic planning and procurement support to state agencies nationwide as they seek to modernize their program administration using new and improved technology. This expertise ensures the CSG teams working on your projects understand your objectives. Our entire focus is on improving the odds of success for the Commonwealth's initiatives.

Our IV&V activities focus on proactive, predictive, and preventive IV&V techniques. We do not just focus on the identification of issues and risks, but on solutions for issues, mitigation strategies for risks, observations and recommendations, and opportunities for improvement for upcoming project phases and activities. Our IV&V assessment activities inform not only the current state of the project, but anticipate and predict forward-looking quality improvement opportunities.

To gain a better understanding of proactive IV&V management, CSG defined *Five Levels of IV&V Event Management℠* as depicted in the figure on the following page.

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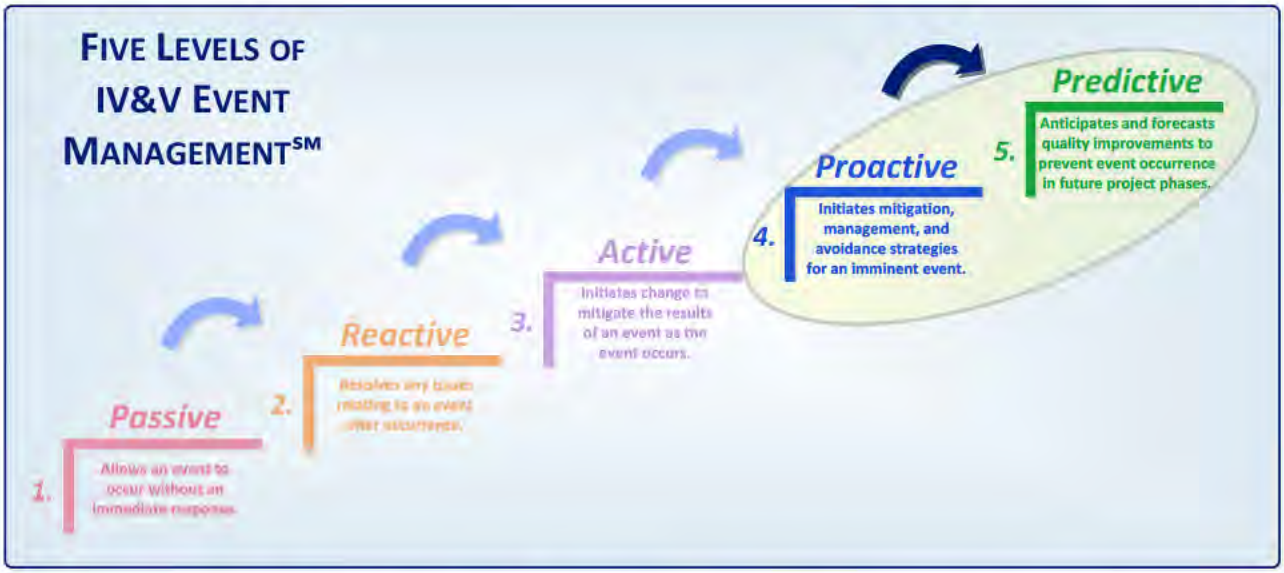

Figure 23: Five Levels of IV&V Event Management℠ – CSG's focus on proactive and predictive IV&V emphasizes risk management to mitigate risk via early identification, allowing for risk analysis, planning, and management.

Our methodology and tools that support our IV&V engagements are highly flexible, meaning that the focus areas (or categories) of our assessments are easily customizable to meet the needs of L&I. The following pages provide an overview of our general approach to conducting IV&V assessments, including a description of typical focus areas.

CSG's IV&V Methodology, developed through our Independent Verification and Validation Center of Excellence, provides a highly structured approach to assess the soundness of all aspects of the project at hand. Our IV&V Methodology, which aligns with standards from IEEE, PMI, ISO, and other industry standards organizations, provides the framework for delivering IV&V that helps lead to the successful completion of Commonwealth projects. Our focus is to ensure quality is built into every phase, activity, task, and deliverable throughout the life cycle. Our approach to IV&V also emphasizes risk management to mitigate risk by identifying risks early allowing for mitigation analysis, planning, and implementation.

CSG's approach to IV&V is solution-agnostic and methodology driven. This means our IV&V can be leveraged on projects adhering to various methodologies, such as Waterfall, Agile, and Iterative. CSG can meet the IV&V needs of the Commonwealth by adapting to the SDLC approach chosen by the DDI Contractor.

CSG has provided IV&V services for many states. We are well-versed in effectively and efficiently tailoring our methodology, processes, and tools to state-specific and project-specific needs in order to deliver meaningful independent information on a project. Our experience also supports minimizing and avoiding any adverse impact on the target business process and schedules. As a company with extensive experience providing IV&V across a variety of verticals and in varying roles and levels of depth, CSG is uniquely qualified to serve as your IV&V partner.

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CSG's Methodology Ensures Adherence to Industry Best Practices and Standards

CSG uses industry standards and metrics to perform its work. Our IV&V processes are defined to conform to appropriate life cycle process standards such "As-Is"O/IEC Standard 12207, IEEE STD 1012 and IEEE STD 1074. Our IV&V teams also leverage other industry best practices such as PMI PMBOK® Guide, 5th Edition for project management best practices when performing assessments.

The *TeamCSG℠ Risk Assessment Model* was developed to identify and assess the level of risk within a project's processes and products, and incorporates IEEE and PMBOK® standards within the risk assessment items. In addition, any checklists that CSG utilizes to review a deliverable or process incorporates the appropriate standards. **Risk identification and tracking is a key focus**. We provide observations, findings, and recommendations in the reports associated with the deliverable(s) described in our project plan.

CSG Centers of Excellence

The CSG Centers of Excellence (CoE), as depicted in the figure on the right, carry forward lessons learned and best practices from industry standards, CSG's industry participation, and our current IV&V activities. Our Centers of Excellence establish regular communication with our project teams in the field, bringing together project managers and other team members to discuss challenges and solutions across CSG's IV&V projects and other projects relevant to the specifics of the UC Benefits Modernization Project. Our CoE Leads also share subject matter expertise and knowledge of current events in the relevant industries.

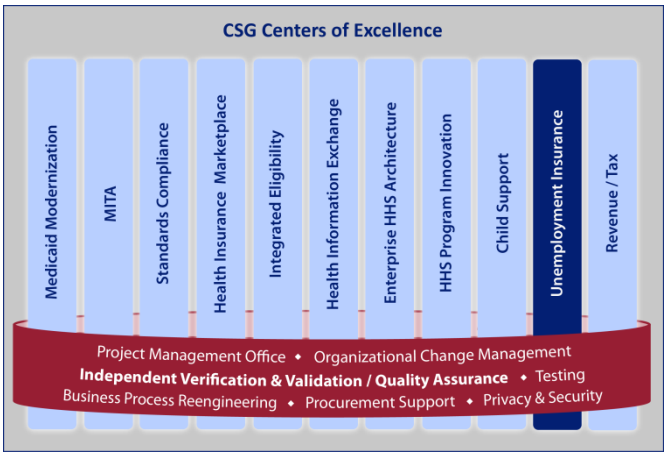

Figure 24: CSG's Centers of Excellence – Our CoEs provide key resources, knowledge, and tools for our IV&V teams.

Through our Centers of Excellence, our teams identify and share the types of tools, methods, and information necessary to complete the tasks at hand.

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Project Management Methodology

CSG's Project Management methodology is consistent with the Project Management Body of Knowledge (PMBOK) phases. CSG utilizes our CSG REALize℠ Project Management Methodology on all our projects, and our quality management approach is based on PMBOK®.

- **Initiate and Plan** – Includes tasks related to Project Kick-off, getting the team acclimated to the project site, developing the Project Plan and Project Management Plan, and finalizing review criteria.
- **Execute** – Defines all high level tasks to accomplish the project, conduct our IV&V and QA/QC activities, and produce required deliverables
- **Monitor and Control** – Includes project management oversight and status reporting activities
- **Closing** – Defines the tasks to finalize and transition project artifacts

CSG follows a structured but flexible approach to all aspects of the project. Our focus is to ensure quality is built into every phase, task, and deliverable throughout the project. We tailor our approach and our Project Plan to meet the unique needs of this high-impact initiative. The following pages provide a high-level description of our activities according to the PMBOK® phases described above.

Project Initiation and Planning

Our IV&V approach is tailored to meet the needs of each project. Therefore, our IV&V Project Management Plan and project schedule is also customized to where each project is within the SDLC, recognizing the need for an IV&V team who can easily integrate into a project at start-up, or one that may be already underway without slowing down progress. We apply a disciplined approach to project management and clearly define strategies to initiate IV&V activities based on where each project is when our IV&V team is engaged. Our project initiation and planning activities are designed to add immediate value by combining our IV&V approach and methods with the realities of the project timeline, without compromising quality.

CSG initiates our activities by assessing all aspects of the project to build an inventory of the many moving parts, including identifying related projects that may influence or be influenced by the activities at the core of the IV&V focus, and identification of all stakeholders and participating or affected organizations. The project activities must adhere to a variety of relevant guidance; therefore, CSG identifies and reviews all applicable guidance to compile the metrics that are used to assess the project during each phase.

The following list provides additional detail on the Initiation and Planning phase activities:

- **IV&V Boot Camp** – Prior to the official, on-site Kick-off of our IV&V services in the Commonwealth, the CSG Team assembles in our Chicago headquarters for a hands-on training/refresher course of CSG's IV&V best practices, case studies, lessons learned,

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tools, and project specific requirements. This activity ensures that the team 'hits the ground running' on day one of the project and provides instant team building and alignment to processes and tools. Our IV&V Boot Camp ensures that the CSG Team is on the same page, that we can deliver consistent IV&V services, and that we begin the project with the Commonwealth's end goals in mind.

- **IV&V Project Kick-off Meeting** – We hold a kick-off meeting with L&I's leadership and identified project stakeholders to level set project expectations, develop effective and efficient lines of communication, and ensure a thorough understanding of project organization, scope, schedule, approach, roles and responsibilities, and tasks and deliverables. This helps ensure that all stakeholders come to a common understanding understand what IV&V is, the terminology and expectations on deliverables, assessments, and reviews. CSG treats this meeting as a mini training of sorts and it ensures effective organization and mobilization of the project team. Clear understanding of accountability and an energetic launch of project tasks gives early momentum to the effort and builds team commitment.
- **IV&V Project Management Plan and Schedule** – From day one, CSG's IV&V Project Manager works in close coordination with the L&I Project Sponsor to ensure that our plan for IV&V services meets our client's expectations. Our team creates a draft of the IV&V Project Management Plan, building on the elements discussed during the Project Kick-off Meeting and incorporating feedback from L&I leadership to address project specific processes that are already in place. We create an initial project schedule and work breakdown structure (WBS) during initiation and planning, and we adjust the initial WBS to develop a schedule that fully meets the project needs and aligns with the L&I schedule.

  CSG's IV&V Project Manager schedules a meeting with the L&I Project Sponsor to review the draft plan and schedule. CSG's IV&V Project Manager updates the plan and schedule incorporating feedback from the L&I Project Sponsor to address project specific processes already in place. Thereafter, we deliver an updated Project Plan on a weekly basis, allowing the L&I Project Sponsor and project stakeholders to accurately track project progress.

  The Project Plan provides a detailed schedule for the current week, including schedule for assessment activities, verification activities and the proposed action plan for the current period. It is up-to-date for the entire project (e.g., if the project is in the Project Planning phase and the timing of the Training Plan deliverable scheduled as part of the Requirements Analysis and Design Phase changes, the Project Plan will be immediately updated to reflect the impacts of this change). At L&I Project Sponsor's approval, the Project Plan is baselined with updates occurring weekly throughout contract term to align with updates made to the UC Benefits Modernization Project's Project Management Plan as well as with any changes to the IV&V requirements.

  Our Project Plan is not solely used as a reporting tool but also to manage the workload, staff members, and to forecast and communicate project staffing needs within the CSG

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Team. In the Project Timekeeping section below, our timekeeping process is integrated into our Project Plan resulting in actual weekly team member updates being applied directly against the Project Plan. Our contract scheduling and control methodology includes the weekly management and progressive elaboration necessary to align with modifications to the UC Benefits Modernization Project's Project Management Plan and any changes to the IV&V requirements.

- **TeamCSG℠ Risk Assessment Model IV&V Checklists** – Our IV&V teams bring robust and highly customizable tools to provide L&I with the highest possible level of IV&V. One of the first activities conducted during every IV&V engagement (typically during Project Initiation and Planning phases) is to meet with the L&I leadership team and appropriate stakeholders to ensure that our TeamCSG℠ Risk Assessment Model contains the categories and checklist items necessary to provide a comprehensive analysis of the project. Updates to our analysis checklists and tools include activities that are common to all of the IV&V tasks for the SDLC. For example, our IV&V teams analyze risks across the entire project and do not categorize risks solely according to which deliverable or process is the source of the risk. Therefore, risks arising from the various deliverable reviews are continually funneled into our TeamCSG℠ Risk Assessment Tracking tool to manage their evaluation and rank relative to the other existing risks.
- **Deliverable Acceptance Criteria Development** – We recognize the importance of well-defined acceptance criteria to protect the interests of L&I and ensure high quality standards are applied throughout the project life cycle to reduce risks and ensure project success. Through our years of experience delivering IV&V services, we have developed a core set of acceptance criteria that are applicable across large technology projects, and can be customized to meet the specific needs of this project. The criteria address the function of each deliverable (e.g., project management, quality management, system architecture design, requirements analysis, etc.) as well as quality (e.g., standards, clarity, minimum expected content, etc.).

Lastly, during Initiation and Planning phase, the CSG Team is also instructed in how to conduct IV&V activities based on the SDLC approach that the DDI Contractor utilizes. Following the completion of these activities, our Project Execution activities are set "To-Be"gin.

Project Execution

CSG's execution approach and plan for our IV&V engagements is based on common sense, open communication and a collaborative style. A key responsibility of the CSG IV&V team is to proactively identify and report on objective data regarding performance, including schedule and budget compliance, sufficient to make recommendations for improvement. CSG's IV&V Project Manager works with the L&I Project Sponsor, L&I Project Manager, DDI Project Manager and PMO Project Manager to ensure that all communication is timely, accurate, and appropriately delivered.

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Project Execution begins with our team conducting an initial project assessment. This comprehensive baseline assessment includes the identification and analysis of all plans, documents, schedules, risks, issues, stakeholders, budgets, and requirements.

The CSG Team then provides monthly updates in the form of a Monthly Project Assessment Report. This report includes all activities that have occurred for the month, upcoming activities, a deliverables table with dates that each is due and the date upon which they are delivered, risks, issues, time allocated to project activities and an updated schedule. CSG works with the L&I Project Sponsor at the beginning of the project to determine the format and content of each report.

Following the initial project assessment, the CSG Team conducts monthly ongoing assessments throughout the project life cycle, delivering **Test Plans**, **Use Cases** and a **Final Recommendations Report**. A key responsibility of the CSG Team is to proactively identify and report on objective data regarding performance, including schedule and budget compliance, sufficient to make recommendations for improvement. As risks and issues are identified during the month, the CSG IV&V Project Manager notifies the L&I Project Sponsor of the new discovery and makes recommendations to manage the risk or issues. L&I is then able to implement a mitigation strategy soon after the risk or issue is identified, reducing the threat to the project.

Please see *Section 3.4.1, Sample Focus Areas for IV&V Assessment* and *Section 3.4.2, CSG's IV&V Approach*, for detail on the activities that occur throughout Project Execution.

Our IV&V Project Status Reports and other requested IV&V deliverables are developed to ensure that the CSG IV&V team meets the expectations of L&I. To do this, we use the following quality management strategies:

- **Deliverable expectations are confirmed prior to developing a deliverable**. Our Deliverable Expectations Document (DED) is included as part of the IV&V Management Plan and provides the expected format, specifications, sample content, and organization. We base the definition and parameters of the DED on the specific criteria, processes, or procedures for each deliverable identified in the RFQ.
- **Conducting internal peer reviews** prior to delivering a deliverable to the L&I for review and approval.
- **Using CSG's Project Performance Group (PPG) to support our project teams.** The CSG PPG is a centralized CSG group dedicated to supporting our project teams to ensure our projects are planned for and executed to meet the needs of our clients.
- **Conducting deliverable walkthroughs with L&I to provide an orientation to the IV&V deliverable** layout and overall presentation of content. This walkthrough process also allows for an immediate identification of any facts that need "To-Be" corrected prior to formal submission.

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Project Monitoring and Control

CSG understands the importance of timely communications, including status meetings and status reporting. Both of these activities are key components of our overall IV&V methodology and project communication management process. We have a philosophy of "no surprises," which means that we provide clear and accurate communication to project stakeholders and team members. Information is prepared and delivered to stakeholders and the project team in a timely fashion.

Status reports are the most common project communication tools, and they serve as the integration point for project management. In addition to our written status reports, CSG facilitates status and executive meetings as requested and on a periodic basis, as well as ad-hoc meetings as needed. The project team uses a multi-layer reporting approach that collects individual achievements and rolls them up into a summarized project status.

The CSG Team conducts the following Monitoring and Control activities throughout the project life cycle:

- **Weekly IV&V Project Status Reports**

  CSG provides weekly IV&V Project Status Reports that include an overview of IV&V activities performed during the reporting period by project component and their status; detailed findings of assessments conducted, issues, risks and recommended mitigation strategies; as well as an overview of the contents of the next Management Presentation.

  The report also contains all significant or serious deficiencies, risks, or concerns with the project's quality, design, development, or implementation. It also includes any other circumstances that, if not remedied, will have a negative impact on the project and its operations, design, development, implementation, efficiency, cost and/or time for completion.

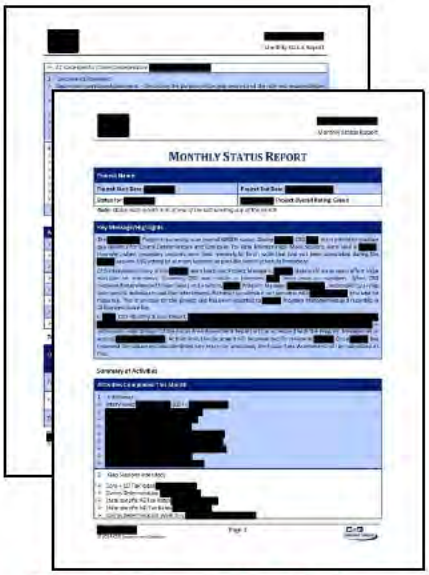

Figure 25: Sample Monthly Status Report – Provides an evaluation of the project our team is assessing.

Key areas of the IV&V Project Status Report include:

- **Project Schedule** – CSG provides a written assessment of the progress of the project against planned tasks, duration, resources, completion dates, milestones, and issues impacting the schedule, including recommendations specifying what can be done immediately and in the long term to remediate variations and deviations from the schedule.

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- **Risk Assessment** – CSG reports on the identified risks and the potential level of severity of said risks and recommends mitigation and/or resolution strategies to manage and/or eliminate the identified risks.
- **IV&V Recommendations** – CSG provides recommendations, as necessary, for addressing any issues relative to the successful completion of the project phases, including detailed recommendations in each area of the project phases specifying what can be done immediately and in the long term to improve in said area.
- **Deliverable Reviews** – Depending on the project, our IV&V Project Status Reports also contain review and analysis of deliverables produced during the previous reporting period. For every deliverable, we verify its correctness, accuracy, completeness, and readability. In addition to each deliverable walkthrough, we conduct a review that is tailored to the subject matter presented. CSG assesses the deliverables based upon quality attributes including:
  - ✓ Adherence to Requirements – determination if the solution proposed fulfills the requirements
  - ✓ Clarity – determination of clearness or lucidity of the proposed solution
  - ✓ Completeness – determination if the solution contains all parts or elements expected
  - ✓ Consistency – determination if the solution has uniformity among the parts
  - ✓ Traceability – determination if the solution can be attributable or ascribable
  - ✓ Adherence to laws, rules and contractual requirements

In summary, our IV&V Project Status Reports are focused on the IV&V project plan activities, observations of project activities, identified issues and risks, and any changes in the availability of key IV&V personnel. In addition, we include a listing of all expected IV&V contract deliverables, expected delivery dates, and status of each. We develop customized IV&V Project Status Reports to ensure the products and deliverables of the project meet required quality standards and effectively utilize best practices. CSG's Status Reports describe any new or modified methodologies, standards, templates, benchmarks, etc., since the development and approval of the IV&V Management Plan. We also ensure the format and structure of the Status Report is reviewed with and approved by L&I prior to its use.

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Project Meetings

Regularly scheduled project meetings are a critical way to communicate with all project stakeholders. Following are brief descriptions of typical project meetings:

Figure 26: Sample Project Dashboard – Dashboards give a valuable snapshot of project health and status to project team members and key stakeholders and can be delivered during status meetings and presentations.

- **Weekly Status Meetings** – CSG will hold weekly status meetings with the L&I Project Sponsor. Effective communication via status meetings is essential for maintaining focus on project tasks, receiving warnings of potential problem areas, and preventing surprises and missteps. The purpose of these meetings is to discuss progress of activities, identify potential issues or concerns, brainstorm potential alternatives or solutions, and plan the activities for the next period. During these weekly meetings, CSG's IV&V Project Manager raises issues and risks and makes recommendations to L&I.
- **Ad-hoc Meetings** – The project team may use ad-hoc meetings as an informal way to address important project topics during the life of the project. This technique is particularly effective for reinforcing methodology, discussing technical issues or approaches, or addressing process issues with the project team. Because of the informal nature of these meetings, a casual setting (e.g., lunch-and-learns) can be utilized to promote teamwork as well as provide another feedback loop from staff to project leadership.

Management Presentations

CSG prepares and delivers, upon request, a formal presentation on the results of latest respective IV&V assessment to the L&I Project Sponsor and identified stakeholders as part of the Executive Steering Committee Meeting. The presentation includes a summary overview of the project, key risks, an overall summary of project observations and recommendations from the IV&V team, as well as progress made since the previous review.

Any such presentation is conducted following the delivery of the final version of the respective IV&V assessment. The delivery of formal management presentations is a standard practice on all of our IV&V engagements. We utilize a style of reporting that fits the audience to ensure maximum understanding. For executive level stakeholders, we develop topics that include high-level bullet points followed by key areas for discussion and input. High-level decision makers need to have the ability to quickly understand the issues and allow for their input "To-Be" received. Stakeholders who are closer to the project activities will require more details and additional time for providing feedback.

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Figure 27: Management Presentations – CSG delivers formal presentations covering the agenda shown and any additional items requested by L&I.

Project Closing

At the conclusion of each IV&V project, CSG's IV&V Project Manager facilitates an effective transition of all deliverables, artifacts, and information to L&I staff. The CSG team shares knowledge of all project activities, tasks, and documents readily and openly through the project life cycle, but formally transitions this information during Project Closing.

Our team ensures that all project data, artifacts, reports, and deliverables are housed in a project repository throughout the course of the project life cycle, which can be hosted on TeamCSG℠ or on the Commonwealth's infrastructure. CSG turns over the project repository to L&I staff upon completion of our IV&V contract. We modify our standard close out process to meet specific Commonwealth requirements, and we bring the foundation for a smooth transition from years of client project conclusions. Our goal in this phase is to ensure you have all the information from our IV&V assessment activities.

For a typical IV&V project, our team conducts the following activities:

- **Compile Lessons Learned Information** – We analyze the information collected from all team members involved the IV&V project and submit at the IV&V project closure.
- **Facilitate Lessons Learned/Project Closing Session** – CSG facilitates a Lessons Learned session with L&I stakeholders. We compile, analyze, and document information to transfer knowledge and best practices for future projects in the Commonwealth.

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IV&V Project Tools

CSG brings a toolset that provides an independent and "no surprises" view into the health of the project. The tools that the CSG Team utilizes on this project are described below.

TeamCSG℠ Risk Assessment Model

The *TeamCSG℠ Risk Assessment Model* is the critical base from which we customize the checklists we use in each IV&V review. The *TeamCSG℠ Risk Assessment Model* is based on the industry standards and best practices of IEEE STD 1012 and the Project Management Institute's *PMBOK®* 5th Edition. CSG refines and customizes the initial IV&V review checklist to account for the needs of L&I.

The *TeamCSG℠ Risk Assessment Model* uses the high level groupings (domains) of project management, information technology (IT) infrastructure, and software development life cycle categories. The risk domains are further broken down into a set of categories and subcategories upon which the project can be compared to defined risk profiles.

The image below provides a snapshot of the *TeamCSG℠ Risk Assessment Model* (prior to customization per UC Benefits Modernization Project specifications).

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Figure 28: Sample of the *TeamCSG℠ Risk Assessment Model Tool*

The TeamCSG℠ Risk Assessment Model checklist is another powerful tool that provides a risk level assessment (low, medium, high) for each checklist item. This allows for an initial snapshot not only of status, but also level of risk. The risk level helps the project team focus their efforts on planning risk response plans for key risk areas. The CSG risk assessment model is used to focus prioritization and assessment of the impact of risks to the overall project health.

For each item, the risk assessment checklist includes the following:

- **Description** – The review checklist item
- **Observation** – Observations made by the IV&V teams and responses to IV&V Checklist questions during the review process
- **Recommendation** – IV&V team recommendation(s) to address an item
- **Low, Medium, or High Risk Indicator** – Description of the checklist item if a low, medium, or high risk depending on the findings of the review

The checklists developed from the ***TeamCSG℠ Risk Assessment Model*** allow our IV&V teams to identify, analyze, and recommend risk response plans for the UC Benefits Implementation project team. The ***TeamCSG℠ Risk Assessment Tracking Tool*** then monitors, tracks, and trends the risks identified throughout the project. The use of our risk assessment model and tracking tool helps the UC Benefits Implementation project team anticipate and respond to emerging risks throughout the duration of our projects.

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One of the first activities that we conduct is to ensure that our *TeamCSG℠ Risk Assessment Model* contains the categories and checklist items necessary to provide a comprehensive analysis of the project.

TeamCSG℠ Risk Assessment Tracking Tool

The *TeamCSG℠ Risk Assessment Tracking Tool* ensures previous observations and recommendations are traced from the previous review period(s) and progress is quantified and reported. The Tool tracks risks and recommendations from one review period to the next to determine increasing or decreasing risk levels and project health not only at an item level but also within a category or subcategory. The *TeamCSG℠ Risk Assessment Tracking Tool* includes checklist items from all previous reviews that identified a project risk and includes new items that reflect areas for review during the current review period. This aggregation of previous review items with new review items allows for traceability from the point of first risk identification as well as an assessment of the current status. By compiling and comparing the review results to previous reviews, we can then provide quantitative reports on the number of high, medium, and low risks on the project, by project category, and whether the trend is positive or negative for the project.

The image below provides a snapshot of the *TeamCSG℠ Risk Assessment Tracking Tool.*

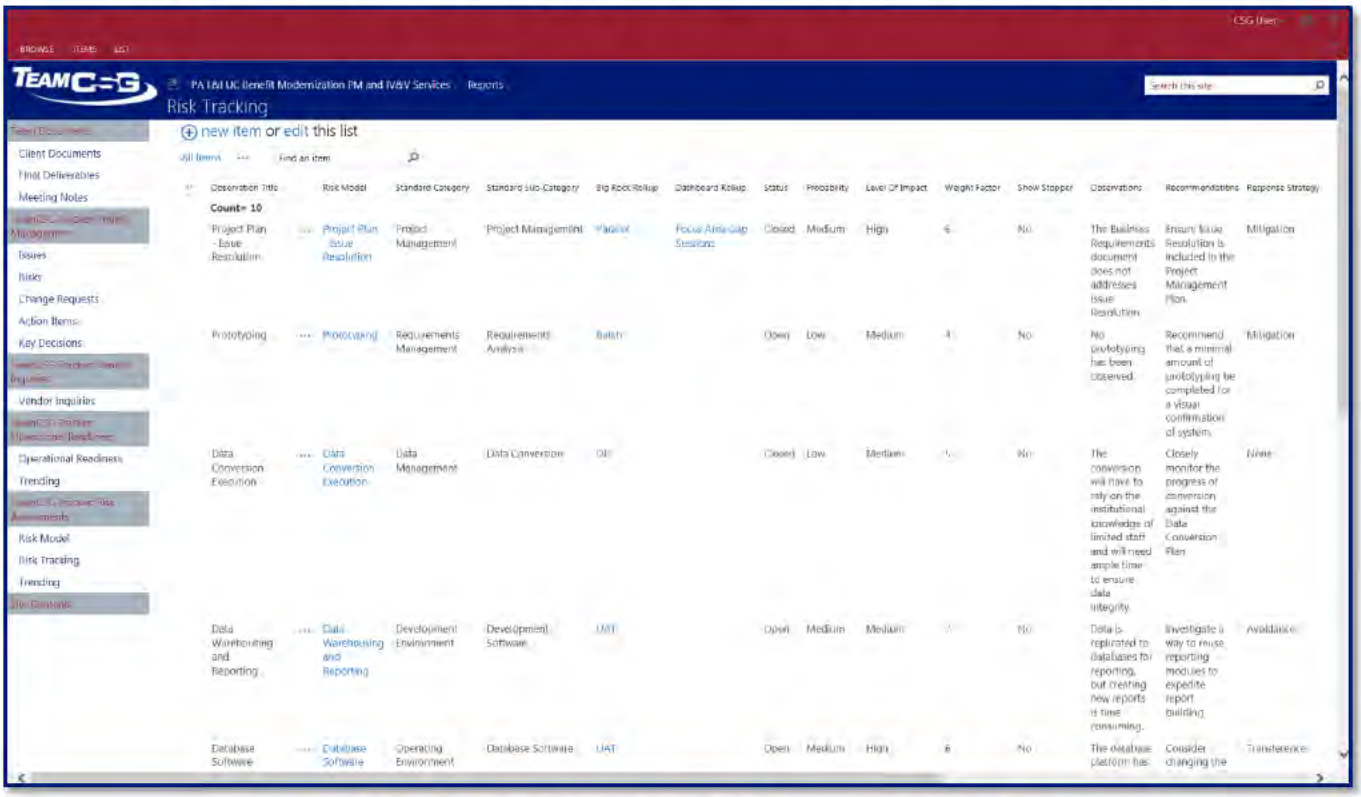

Figure 29: Sample of the *TeamCSG℠ Risk Assessment Tracking Tool*

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Customized Project Roadmap

On every CSG project, CSG REALize℠ provides a customized, value-added Roadmap, accessible through the TeamCSG℠ Portal. The Roadmap is an easy-to-read depiction of the project's work breakdown structure, is synchronized with the Project Plan, and provides the entire team with valuable proprietary and other industry-standard tools, handbooks, and research along with straightforward descriptions of all project activities. The Roadmap is divided into two sections.

- The top half of the roadmap describes the project from initiation to project closure moving from left to right. The project is organized into work streams and tasks. The work streams are identified by blue boxes and the activities by red boxes. A work stream is a collection of related tasks that lead to the creation of a project deliverable or work product.
- The bottom half shows the key supporting models and tools for the project. For our roadmap for our IV&V services for UC Benefit Modernization project, the high-impact tools used by our team are included in this section.

CSG's roadmap for the Optional Implementation Oversight services is located on the following page.

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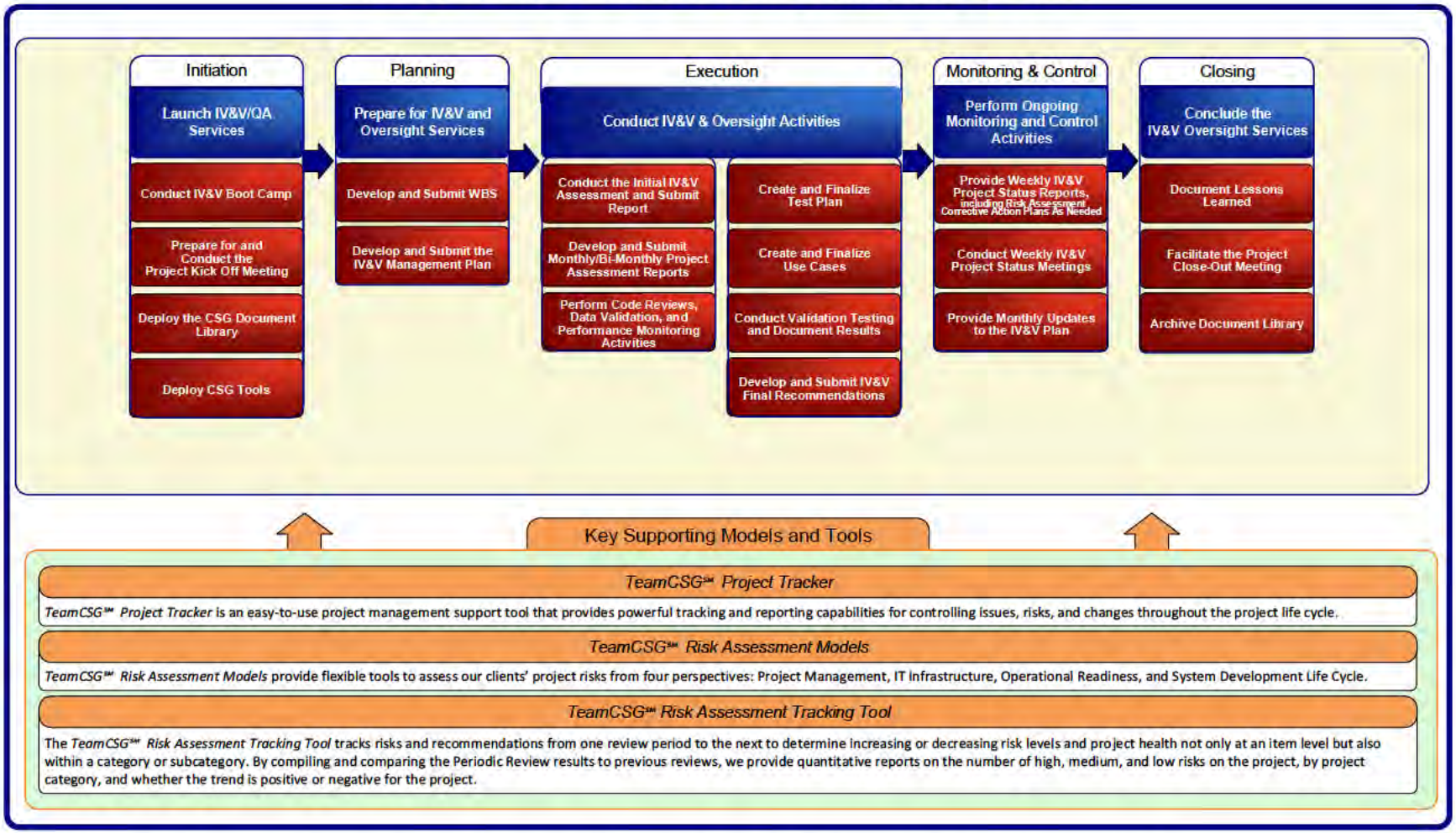
Pennsylvania UC Benefits Modernization Project
Independent Verification and Validation Services



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3.4.2 CSG IV&V Approach

This section outlines CSG's IV&V approach to meeting requirements of this RFQ. Our team, approach, and processes are project life cycle agnostic and are adaptable and flexible for demonstrated success in an Agile, Iterative, or Waterfall environment.

Our IV&V methodology and activities focus on proactive, predictive, and preventive IV&V techniques. We do not just focus on the identification of issues and risks, but on solutions for issues, mitigation strategies for risks, observations and recommendations, and opportunities for improvement for upcoming project phases and activities. Our IV&V assessment activities inform not only the current state of the project, but anticipate and predict forward-looking quality improvement opportunities.

3.4.2.1 Approach for Conducting Assessments

Gathering IV&V Deliverable Inputs

There are many types of input that our IV&V teams use in their assessments and production of each IV&V assessment deliverable. CSG collects all of the documentation, standards, data, and other relevant information available from the UC Benefits Implementation project team. The specific inputs vary depending upon the specifics of the project. The most common and significant inputs are identified below.

- **Existing Project Documentation and Artifacts** – CSG examines the UC Benefits Modernization Project plans and artifacts, the DDI Contractor's proposal, and the resulting contract for any relevant requirements or terms that were included in these documents that relate to specific deliverables. This information is extracted and used during the deliverable review process.
- **Deliverables** – Formal deliverable reviews are a fundamental validation activity provided by our IV&V teams. For each deliverable, CSG conducts a review that is tailored to the subject matter presented. Since the content and purpose of each deliverable varies, the type of review will also vary. CSG uses the appropriate industry standards and guidelines in the review of the deliverables. In some cases the standard may have been specified via the contractual documents, while in other cases it may be a best practice for the specific subject matter. In any event, prior to its review, CSG determines what standards are applicable to the deliverable and whether or not compliance is required. Typically, CSG varies its review according to the guidance set forth in IEEE 1012 for each phase of the SDLC. For every deliverable, CSG verifies its correctness, accuracy, completeness, and readability. We also attend the DDI Contractor's walkthrough of the deliverable, as appropriate. This walkthrough allows CSG "To-Be"come familiar with the deliverable and ask specific questions about the deliverable's content.
- **Stakeholder Interviews** – CSG conducts interviews with UC Benefits Implementation project staff, as appropriate to the project goals, to understand the current environment and to assess project progress and status.

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- **Project Meeting Attendance** – Our team members typically also attend project meetings and review all formal meeting minutes produced from these meetings to ensure that summaries are complete and accurate and that all decisions, action items, risks, and issues are appropriately noted. Our participation in project meetings provides the opportunity for the IV&V team to maintain a full understanding of project processes, current activities, and status and to gain additional insight and understanding of project risks and issues. We welcome the opportunity to work side-by-side with the UC Benefits Implementation project team and other project stakeholders in project meetings to contribute to the overall success of the project. The frequency of our attendance at project meetings and the stakeholders interviewed varies based on L&I's needs.

Testing Approach

The CSG IV&V Testing Team (as shown in the IV&V organization chart in *Section 3.4, Optional Implementation Oversight*) develops a Test Management Plan that includes the test methodology, test case sampling plan, roles and responsibilities of the team and reporting frequency. The CSG IV&V Team has the expertise to oversee the DDI Contractor's testing and to conduct testing of an Agile, Iterative, or Waterfall project.

The CSG IV&V Test Manager attends the requirement sessions with L&I and the DDI Contractor. This ensures an understanding of the requirements, and assists the CSG IV&V Testing Team in the development of the Testing Management Plan. The CSG IV&V Test Manager is responsible for providing this information and continuity to the testers that come on later in the project.

The DDI Contractor is responsible for testing the solution to ensure that it meets both design specification and functional requirements. As the IV&V Vendor, CSG is responsible for monitoring the testing activity of the DDI Contractor, including validation and reporting on code/unit, integration, functional and user acceptance testing.

CSG's testing approach is based on the sampling methodology specified in Military Standard 105E (ANSI/ASQC Z1.4, ISO 2859). This standard includes a methodology for selecting a suitable sample size and selecting a representative part of the test case population for the purpose of determining the characteristics of the whole population. This proven methodology allows CSG to verify and validate the unit, system, and acceptance testing processes to ensure the features and functionality of the system are adequately and successfully tested and mapped back to the project requirements.

The CSG Team brings considerable experience in evaluating test results and our experience allows us to efficiently and effectively identify risks and concerns as part of the test evaluation process. Our CSG IV&V Testing Team draws from previous experience and industry best practices to ensure that testing is executed in the most efficient and effective manner. CSG verifies the test software artifacts, test data, and the test plan confirm successful code/unit, integration, functional and user acceptance testing. CSG assesses the standards for test scenario and script development, as well as templates for reporting, test cases, and test scripts developed by the DDI Contractor to ensure consistency. We review the test scenarios with applicable test cases and expected test results in order to test the migration and conversion of

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data and files. We review test result documentation to confirm all requirements have sufficient test scenarios to validate system functionality.

We verify and validate the test plan is being following during the preparation of data, and execution of the tests. Additionally, we confirm that the reporting, management, and resolution of defects are conducted according to plan. Our experience also allows us to evaluate test results, detect risks and issues, and recommend mitigation strategies or advancement to user acceptance testing. The CSG team follows the same process for verifying and validating user acceptance testing.

In addition to reviewing the testing performed by the DDI Contractor, CSG will also develop use cases that will allow us to perform validation testing on core aspects of the system. CSG will work with the L&I Project Sponsor to identify the core aspects of the system that will be included in our use cases.

The CSG team identifies risks or areas that require corrective action and then track and monitor their completion. The CSG team then creates a summary of testing findings. The summary of findings provides an overview of the results reviewed, corrective actions required during testing, results of retesting, and a summary of any outstanding issues. CSG includes findings in the weekly and monthly reports to L&I to document the results of our assessments.

Our test findings include the following:

- Results of testing
- Determinations by unit/component whether test results meet or fail predetermined acceptable levels for results
- Recommendations for remediation for any units/components that fail predetermined test result levels
- Documentation of resolutions to unit/system/acceptance test defects and re-testing
- Prioritization of outstanding unit/system/acceptance tests requiring remediation

CSG provides a summary report for each testing level that ensures each level of testing is satisfactorily completed and the DDI Contractor is ready to move to level of testing or the final step of deployment.

Test Plan and Use Cases

As described in the testing approach, the CSG IV&V Team utilizes a sampling methodology as specified in Military Standard 105E (ANSI/ASQC Z1.4, ISO 2859). This is utilized for overseeing the results of the DDI Contractor and also to provide test cases for the CSG Team to run.

In addition to overseeing the results of the DDI Contractor testing, the testing plan also includes the methodology used to develop use cases for CSG led testing.

The final approach and details are supplied within the CSG Test Sample Plan and provides the details of:

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The process for the selection of cases so it is clear to all stakeholders and the DDI Contractor what is reviewed

- The initial schedule for overseeing the DDI Contractor's test results and when the CSG Team runs their test cases
- The expected contents of the DDI Contractor's plans and test results
- The expected results of the CSG Team's test results
- The sample review criteria which ensure clarity of what is reviewed
- The roles of the Department's reviewers, who can provide input, and who can provide decisions on how to proceed with CSG's recommendations. The tasks and roles within the Testing Plan are input into the RACI chart to solidify the decision making authority. All decisions are documented in TeamCSG℠ for future reference.

Test Plan

CSG provides a sample Test Plan below. For a more complete sample, please see *Appendix B, Sample Deliverables.*

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Use Case

The following is an example of a use case that will be used to support CSG-led testing. For a more complete sample, please see *Appendix B, Sample Deliverables*.

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Assessment Focus Areas

The *TeamCSG℠ Risk Assessment Model* uses the high level groupings (domains) of project management, information technology (IT) infrastructure, and software development life cycle categories. These domains are further broken down into focus areas in the table below. These domains were identified through our experience on other IV&V program modernization projects for our state government clients.

IV&V Risk Assessment Domains and Focus Areas/Categories	
Domain	**Focus Areas/Categories**
Project Management	➢ Business Mission and Goals ➢ Customer/User ➢ Decision Drivers ➢ Design Specification and Management ➢ Organization Management ➢ Procurement ➢ Project Management ➢ Project Parameters ➢ Project Team ➢ Software Development

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IV&V Risk Assessment Domains and Focus Areas/Categories	
Domain	**Focus Areas/Categories**
IT Infrastructure	➢ COTS Platform Components ➢ Decision Drivers ➢ Development Environment ➢ Operating Environment ➢ Operations ➢ Project Management ➢ Security ➢ System and Acceptance Testing ➢ System and Software Architecture
Software Development Life Cycle	➢ Data Management ➢ Design Specification and Management ➢ Operations ➢ Requirements Management ➢ Security ➢ Software Development ➢ System and Acceptance Testing ➢ Training

For each focus area, risk attributes are described and potential mitigation strategies identified, tracked, and analyzed. **Our risk assessment model is customized for each project** to ensure all requested risk categories are measured. Our IV&V teams utilize this comprehensive model as a guide throughout the project using both qualitative and quantitative impacts to document issues and risks. The following pages provide examples of our assessment approach for a given focus area. As previously described, these focus areas are customized based on the project requirements and the type of IV&V service requested. We utilize our ***TeamCSG℠ Risk Assessment Model and Tracking*** tool to guide our team's assessment activities.

The following focus areas will be explored:

- Project Management
- Training
- Requirements Management
- Operating Environment
- Development Environment
- Software Development
- System and Acceptance Testing

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Project Management

The IV&V team monitors project performance for adherence to scope, cost, time, and quality expectations. We conduct in-depth assessments of the UC Benefits Modernization Project, specifically on established project management oversight processes, and risks and issues management.

- **Management Assessment:** We verify and assess project management and organizational lines of reporting and responsibility to ensure they provide adequate technical and managerial oversight of the project, and we periodically test the lines of communication. The IV&V team evaluates project progress, resources, budget, schedules, workflow, and reporting.
- **Project Management:** The CSG IV&V team verifies and assesses the UC Benefits Implementation project management processes, including whether or not it aligns with PMBOK® objectives for project management and control. CSG verifies project management standards are used to control project activities, including project management phase deliverables, so milestones and completion dates are planned, monitored, and met. We review the project management deliverables to ensure a project issue tracking mechanism is in place, it effectively communicates issues to stakeholders, and project status is accurately tracked using project metrics.
- **Change Management:** CSG verifies a disciplined Change Management Plan is created during project initiation to enforce best practices for managing change requests, all changes are managed using a Commonwealth-approved change control process, and resistance to change is anticipated.
- **Communication Management:** Effective and accurate communication is critical to any project. We review and assess the types of communication needed during the project's SDLC, including confirming distribution lists, document formats, meeting schedules, and other types of communication standards for intra-team and voice mail among others. The IV&V team also ensures a Communication Plan is created and being followed, and we evaluate the communication plan and strategies to verify they support communications and sharing between all project stakeholders.
- **Configuration Management:** The IV&V team reviews and evaluates the Configuration Management Plan and procedures to ensure all critical development documents, including requirements, design, code, and job control language are under an appropriate level of control. We verify the processes and tools are in place to identify code versions and rebuild system configurations from source code if needed. We verify the use of appropriate source and object libraries for training, test, production, and formal sign-off procedures to approve deliverables.

  The CSG IV&V team verifies a configuration management process exists for describing the software product functionality, tracking program versions, and managing changes. It includes verification that the configuration management process is adequate for the development complexity, software and system size, and software integrity level

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associated with the project. We review the use of configuration management information (such as the number and type of corrective maintenance actions over time) in project management. Our reviews ensure appropriate processes and tools manage system changes, including formal change request logging and the review, prioritization, and timely scheduling of maintenance actions. In addition, we verify controls are in place to prevent unauthorized changes to the system and authorized changes to the wrong version.

- **Commonwealth DDI Contractor Oversight:** Adequate oversight of the DDI Contractor is essential for effective day-to-day management of the project. The CSG IV&V team verifies Commonwealth DDI Contractor oversight is provided; and, Commonwealth staff has the ultimate responsibility for monitoring the project's cost and schedule. Our oversight assessment ensures the Commonwealth has defined the technical and managerial inputs the DDI Contractor needs (e.g., reviews, approvals, requirements and interface clarifications, etc.) and has the resources to supply them on schedule.

The following table illustrates the inputs CSG reviews and analyzes to verify and validate the project management tasks. The **IV&V findings, project risks, and recommendations for improvements from** these reviews and evaluations address each task and **are detailed in the IV&V Project Status Reports**.

Project Management	
Anticipated Meetings/Deliverables to Review to Evaluate Tasks	**IV&V Review and Assessment Focus**
➢ Project Management Plan ➢ Change Management Plan ➢ Communication Management Plan ➢ Configuration Management Plan ➢ Risk Management Plan ➢ Issue Management Plan ➢ Weekly Status Reports ➢ Management Status Reports ➢ Stakeholder Status Reports ➢ Implementation Plan ➢ Status Meetings ➢ Interviews with Agency staff ➢ Other meetings identified by project staff	**Review and assess if the following are appropriate or present any project risk:** ➢ Management Assessment ✓ Adequacy of project management, organization, and technical and management oversight ✓ Progress, resources, contract, budget, schedules, work flow, and reporting completeness ➢ Project Management ✓ Execution of project management plans and procedures ✓ Project reports and status accuracy and traceability using project metrics ✓ Milestone and completion date planning, monitoring, and achievement ✓ Existence and institutionalization of issue tracking mechanisms and traceability through closure ➢ Change Management ✓ Change management plans and procedures in place and in use; anticipated level of resistance to change and

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Project Management	
Anticipated Meetings/Deliverables to Review to Evaluate Tasks	**IV&V Review and Assessment Focus**
	approach ➢ Communication Management ✓ Effectiveness and completeness of communication plans and strategies ➢ Configuration Management ✓ Effectiveness of configuration management plans, procedures, and development processes ✓ Repository management for code, documents, tools, design, etc. ✓ Effectiveness of configuration management for code version identification and use for rebuilds ✓ Maintenance of source and object libraries for training, test, and production ✓ Processes and tools in place to manage system changes, maintenance, and deliverable approval ✓ Processes and procedures prevent unauthorized system changes and authorized changes to the wrong version ➢ Commonwealth DDI Contractor Oversight ✓ Adequacy of oversight provided and monthly status and technical reviews ✓ Commonwealth definition of managerial inputs and Commonwealth resource availability support ✓ Level of responsibility for monitoring project costs and schedule

Training and Documentation

Training begins and sets the ongoing learning process users will need, providing the reference materials and artifacts about the solution. The timing of training is important in relationship to the implementation of the solution into production. Many issues can impact go-live or the correct use of the system afterwards. Documentation can vary in quality and completeness, depending on priorities during the project and stability of the solution after. Inadequate attention to documentation has the potential to contribute to failures during the project and errors in the end result.

- **User Training and Documentation:** Training and documentation are essential means of communicating information between the development team and users who ultimately accept or reject the new system, and we verify user-friendly training materials and help desk services are easily available to all users.

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- **System and Operations Documentation:** Adequate documentation for the system and operating environment are essential to ensure future maintainers and operators are able to understand how the system is structured, how it works and the principles upon which the system was built.

The table on the following page illustrates the inputs CSG reviews and analyzes to verify and validate the project tasks. The **IV&V findings, project risks, and recommendations for improvements from** these reviews and evaluations address each task and **are detailed in the IV&V Project Status Reports**.

Training and Documentation	
Anticipated Meetings/Deliverables to Review to Evaluate Tasks	**IV&V Review and Assessment Focus**
➢ Training Plan ➢ Training Manuals ➢ User Manuals (Paper/Online) ➢ System Documentation ➢ Operations Documentation ➢ Training Environment Plan ➢ Status Meetings ➢ Interviews with L&I staff ➢ Other meetings identified by project staff	**Review and assess if the following are appropriate or present any project risk:** ➢ User Training and Documentation ✓ Availability of user-friendly training materials and help desk services s ➢ System and Operations Documentation ✓ Adequacy of system and operations documentation

Requirements Management

Requirements management is a key factor in the overall success of a project. Any gaps in requirements or additions to the original list, along with indecision, scope creep, or delivery delays as a result of inadequate requirements management can cause a project to come in over budget, extend the schedule, or result in a solution that does not meet the intended business needs.

- **Requirements Management:** Our CSG IV&V team reviews the requirements traceability process and tools to ensure that all of the RFP requirements (including functional and non-functional requirements) are tracked and have forward and backward traceability. We verify requirements are under formal configuration control through design, code, and test phases so the system performs as intended and contains no unnecessary software elements.
- **Requirements Analysis:** CSG performs an in-depth review of the requirements at project outset, and then periodically thereafter, to ensure that L&I, Commonwealth, federal, and other requirements are being met and are traceable throughout the SDLC. CSG verifies that L&I, Commonwealth, and federal needs and objectives have been

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analyzed, and the system requirements are well stakeholders have been consulted on the desired system functionality and understood, well defined, and satisfy federal regulations. IV&V assessments verify all users have been involved in prototyping the user interface.

- **Interface Requirements:** CSG verifies all system interfaces are exactly described by medium and by function, including input/output control codes, data format, polarity, range, units, and frequency. We also assess whether approved interface documents are available and whether appropriate relationships (such as interface working groups) are in place with all agencies and organizations supporting the interfaces.
- **Requirements Allocation and Specification:** The CSG IV&V team verifies all requirements validation documentation and work products align with defined business and technical requirements and are allocated appropriately. CSG verifies all system requirements have been allocated to either the software or hardware subsystem, and those requirements specifications have been developed for all hardware and software subsystems in a sufficient level of detail to ensure successful implementation.

The following table illustrates the inputs CSG reviews and analyzes to verify and validate the project tasks. The **IV&V findings, project risks, and recommendations for improvements from** these reviews address each task and **are detailed in the IV&V Project Status Reports.**

Requirements Management	
Anticipated Meetings/Deliverables to Review to Evaluate Tasks	**IV&V Review and Assessment Focus**
➢ Requirements Specification Document ➢ Requirements Traceability Matrix ➢ Configuration Management Plan ➢ Interface Specifications Document ➢ Status Meetings ➢ Interviews with L&I staff ➢ Other meetings identified by project staff	**Review and assess if the following are appropriate or present any project risk:** ➢ Requirements Management ✓ Level of definition for system requirements (hardware and software) and documentation ✓ Software requirements through design, code, and test phases are clean and perform as intended ✓ Effectiveness of configuration control methodology and structure ➢ Requirements Analysis ✓ System requirements defined and completed to federal regulation standards ✓ User involvement in defining functionality, user interface discussions, and prototyping ➢ Interface Requirements ✓ System interfaces are correctly defined for functionality, format, input/output control ✓ Documentation is comprehensive and complete, with

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Requirements Management	
Anticipated Meetings/Deliverables to Review to Evaluate Tasks	**IV&V Review and Assessment Focus**
	external entity buy-in ➢ Requirements Allocation and Specification ✓ Allocation of system requirements to hardware and software subsystems ✓ Detail of requirements specification for hardware and software subsystems

Operating Environment

CSG reviews and assesses the system capacity to validate the project's core objectives are met successfully and the operational environment delivers its services in accordance with key performance metrics. CSG verifies related capacity planning begins early, and system capacity is thoroughly evaluated for thresholds of loads and function.

- **System Capacity:** CSG evaluates the existing processing capacity of the system and verifies it meets current Commonwealth needs for batch and on-line processing. The IV&V team assesses the system's historic availability and reliability including the frequency and criticality of system failure. We review and assess the results of any volume testing or stress testing and any existing measurement and capacity-planning program to determine the system's capacity to support future growth. We also review and analyze system capacity studies and make recommendations on changes in processing hardware, storage, network systems, operating systems, middleware, and software design to meet future growth and improve system performance.
- **Security:** CSG conducts a review of L&I's system to ensure adherence to industry and federal security standards and to verify security procedures are implemented as required. The CSG team validates project policies and procedures for ensuring the system is secure and meets requirements, and that client data privacy is maintained through these policies and procedures. We assess all system security documentation and make recommendations for improvements. IV&V evaluates the project's own security and risk analysis and restrictions on system and data access.

The following table illustrates the inputs CSG reviews and analyzes to verify and validate the project activities. The **IV&V findings, project risks, and recommendations for improvements from** these reviews and evaluations address each activity and **are detailed in the IV&V Project Status Reports.**

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Operating Environment	
Anticipated Meetings/Deliverables to Review to Evaluate Tasks	**IV&V Review and Assessment Focus**
➢ Production Environment Plan ➢ Production Environment artifacts ➢ Capacity and Stress Testing artifacts ➢ Production Environment Diagrams ➢ System Diagrams ➢ System Architecture Plan ➢ Application Architecture Plan ➢ Solution Procurement Plan ➢ Capacity Planning Document ➢ Security Specifications Document ➢ System security policies and procedure; privacy of client data ➢ System and data access restrictions ➢ Security risk analysis ➢ Status Meetings ➢ Interviews with L&I staff ➢ Other meetings identified by project staff	**Review and assess if the following are appropriate or present any project risk:** ➢ System Capacity ✓ Capacity adequacy for batch and on-line processing ✓ Historic and expected system availability, reliability, and failure criticality ✓ Volume or stress testing ✓ Capacity measurement and planning to support growth ✓ Processing hardware, storage, network systems, operating systems, COTS software, and software design for growth and system performance ➢ Security ✓ System security policies and procedures; privacy of client data ✓ System and data access restrictions ✓ Security risk analysis

Development Environment

The development environment focuses on the technology foundation needed to support solution development, and CSG verifies and validates the structure is architected early in the project and built out prior to beginning the development phase. Data and secure repositories of code and documentation must also be ready. Delays or inadequate configurations in the development environment can cause a domino effect through the testing phase and threaten training and the go-live date.

- **Development Hardware:** CSG evaluates the new and existing development hardware configurations to determine if their performance is adequate to meet the needs of system development. We determine if hardware is maintainable, easily upgradeable, and compatible with L&I's existing development and processing environment. This evaluation includes CPUs and other processors, memory, network connections and bandwidth, communication controllers, telecommunications systems (LAN/WAN), terminals, printers and storage devices. We also evaluate current and projected

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contractor hardware support as well as L&I's hardware configuration management plans and procedures.

- **Development Software:** CSG performs a detailed review of the software architecture for feasibility, consistency, and adherence to industry standards. The CSG team evaluates new and existing development software to determine if its capabilities are adequate to meet system development requirements, and if the software is maintainable, easily upgradeable, and compatible with L&I's existing hardware and software environment. The IV&V team evaluates the environment's compatibility with good development practices. This evaluation includes operating systems, network software, project management software, configuration management software, compilers, cross-compilers, linkers, loaders, debuggers, editors, and reporting software. We also evaluate the language and compiler selection regarding portability and reusability (e.g., ANSI standard language, non-standard extensions, etc.). Current and projected contractor software support is also evaluated as well as L&I's software acquisition plans and procedures.

The following table illustrates the inputs CSG reviews and analyzes to verify and validate the project activities. The **IV&V findings, project risks, and recommendations for improvements** from these reviews and evaluations address each activity and **are detailed in the IV&V Project Status Reports.**

Development Environment	
Anticipated Meetings/Deliverables to Review to Evaluate Tasks	**IV&V Review and Assessment Focus**
➢ Development Environment Plan ➢ Development Environment Diagrams ➢ Development Environment Hardware List ➢ Development Environment Software List ➢ Software Development Plan ➢ Status Meetings ➢ Interviews with L&I staff ➢ Other meetings identified by project staff	**Review and assess if the following are appropriate or present any project risk:** ➢ Development Hardware ✓ Development hardware configuration adequacy for system development ✓ Compatibility and maintainability of development hardware in State environment ✓ Level of hardware support and hardware management plans and processes ➢ Development Software ✓ Development software configuration adequacy for system development ✓ Compatibility and maintainability of development software in State environment ✓ Environment integration including operating systems, software applications, compilers, linkers, loaders, debuggers, editors

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Development Environment	
Anticipated Meetings/Deliverables to Review to Evaluate Tasks	**IV&V Review and Assessment Focus**
	✓ Language and compiler portability and reusability ✓ Level of contractor software support management plans and processes

Software Development

Software development is at the heart of producing what project requirements demand, and compliance with strong methodologies is critical. The CSG IV&V team works closely with UC Benefits Implementation project to fully understand the software development approach. We perform a detailed review of the software architecture for feasibility, consistency, and adherence to industry standards.

- **High-Level Design:** The CSG team evaluates the design products for adherence to system requirements and project design methodology and standards. The IV&V team verifies design requirements can be traced back to system requirements, design products are under configuration control, and they are formally approved before detailed design begins.
- **Detailed Design:** The CSG team evaluates and makes recommendations for improvements on existing detailed design products to verify the design is workable, efficient, and satisfies all high-level design requirements. We also review and validate the design and analysis process, design products for adherence to the project design methodology and standards, and design standards, methodology, and tools used. The IV&V team verifies design requirements are backward traceable to system requirements, and that the high-level design and design products are under configuration control and formally approved before coding begins.
- **Job Control:** The CSG team performs an evaluation and makes recommendations on existing job control and the process for designing job control. We evaluate the system's division between batch and on-line processing with regard to system performance and data integrity; batch jobs for appropriate scheduling, timing and internal and external dependencies; and, the appropriate use of operating system scheduling software. The IV&V team verifies job control language scripts are under an appropriate level of configuration control.
- **Code:** CSG reviews the application software for completeness and adherence to programming standards for the project. The CSG team evaluates and makes recommendations on the standards and process currently in place for code development. We assess the existing code base for portability and maintainability, taking software metrics including but not limited to modularity, complexity, and source and object size. We evaluate code documentation and maintenance history for quality,

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completeness, and accessibility. We evaluate compliance to the project's coding standards and guidelines, including structure, documentation, modularity, naming conventions and format including secure coding principles. The IV&V team verifies developed code is kept under appropriate configuration control and is easily accessible by developers. We evaluate the project's use of software metrics in management and quality assurance.

- **Unit Test:** The CSG IV&V team evaluates the plans, requirements, environment, tools, and procedures used for unit testing system modules and the level of test automation, interactive testing, and interactive debugging available in the test environment. CSG verifies the test process achieves an appropriate level of test coverage, test results are verified, the correct code configuration was tested, and the tests are documented appropriately.

The following table illustrates the inputs CSG reviews and analyzes to verify and validate the project activities. The **IV&V findings, project risks, and recommendations for improvements from** these reviews and evaluations address each activity and **are detailed in the IV&V Project Status Reports.**

Software Development	
Anticipated Meetings/Deliverables to Review to Evaluate Tasks	**IV&V Review and Assessment Focus**
➢ Functional Specification Document ➢ Logical Design Document ➢ Physical Design Document ➢ Architectural Diagrams ➢ Network/Logical Diagrams ➢ Code Review Results ➢ Source Code Library ➢ Unit Test Plan ➢ Unit Test Cases and Scripts ➢ Unit Results Summaries ➢ Status Meetings ➢ Interviews with L&I staff ➢ Other meetings identified by project staff	**Review and assess if the following are appropriate or present any project risk:** ➢ High-level Design ✓ Adherence of design products to design methodology and standards ✓ Traceability of design requirements to system requirements ✓ Configuration control and usage approval of all design products prior to use ➢ Detailed Design ✓ Detailed design products' ability to satisfy high-level design requirements ✓ Adherence of design products to design methodology and standards ✓ Detailed design processes and tools for effectiveness and efficiency ✓ Design standards, methodology, and tools used ✓ Traceability of design requirements to system requirements and high-level design ✓ Configuration control and usage approval of all design

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Software Development	
Anticipated Meetings/Deliverables to Review to Evaluate Tasks	**IV&V Review and Assessment Focus**
	products prior to coding ➢ Job Control ✓ Job control processes and design ✓ System performance and data integrity of batch and online processing ✓ Timing, scheduling, and dependencies of batch jobs ✓ Appropriate usage of operating system scheduling software ✓ Configuration control and usage approval of all job scripts prior to use ➢ Code ✓ Coding standards and processes currently in place ✓ Code base, using metrics for modularity, maintainability, complexity, and size ✓ Code documentation for quality, completeness, and accessibility ✓ Coding compliance to coding standards and guidelines ✓ Configuration control and usage approval of all code for access by developers ✓ Project usage of software metrics in management and quality assurance ➢ Unit Test ✓ Unit test plans, requirements, environment, tools, and procedures ✓ Level of test automation, interactive testing and debugging available in test environment ✓ Level of testing coverage achieved and verified correct code produced and documented

System and Acceptance Testing

System and acceptance testing is where the project team and the stakeholders learn if things are coming together and if the solution is taking the correct shape. System testing (with integration testing) is to assure proper integration and a successful coordination of functionality is achieved. Acceptance testing, or UAT (along with Pilot testing), is where the end-user and stakeholders first see a fully operational solution. System integration testing should fully test the delivery of the required solution before exposing it to the users for acceptance. The CSG IV&V team reviews and assesses system and acceptance testing activities to ensure a full

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understanding and ongoing review of the status and expectation of the solution design, test scripts, data requirements, defect management, and regression testing to help the project team avoid later delays and risks.

- **System Integration Test:** The CSG team evaluates the plans, requirements, environment, tools, and procedures used for system module integration testing and the level of automation and availability of the system test environment. We verify an appropriate level of test coverage is achieved by the test process, test results are verified, the correct code configuration was tested, and the tests are appropriately documented including formal logging of errors found in testing. The IV&V team also verifies the test organization has an appropriate level of independence from the development organization.
- **Pilot Test:** CSG evaluates the plans, requirements, environment, tools, and procedures for pilot testing the system. We verify a sufficient number and type of case scenarios are used to ensure comprehensive but manageable testing. We verify tests are run in a realistic, real-time environment, test scripts are complete with step-by-step procedures, required pre-existing events or triggers, and expected results. We also verify test results, correct code configuration use, and test run documentation including formal testing error logging. The CSG team also verifies the test organization has an appropriate level of independence from the development organization.
- **Interface Testing:** The CSG team evaluates interface testing plans and procedures for compliance with industry standards.
- **Acceptance and Turnover:** The CSG team reviews and evaluates the implementation plan to ensure criteria are defined for measuring the success of achieving operational goals. CSG ensures acceptance procedures and criteria for each product are clearly defined, reviewed, and approved prior to test. We also verify the results of the test are documented and acceptance procedures address the correction process if the software product does not pass acceptance testing. The IV&V team verifies acceptance testing is based on defined acceptance criteria before acceptance of software products, the acceptance test organization has an appropriate level of independence from the subcontractor, and training in using the contractor-supplied software is on-going throughout the development process, especially if the software is turned over to L&I staff for operation.

The following table illustrates the inputs CSG reviews and analyzes to verify and validate the project activities. The **IV&V findings, project risks, and recommendations for improvements from** these reviews and evaluations address each activity and **are detailed in the IV&V Project Status Reports**.

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System And Acceptance Testing	
Anticipated Meetings/Deliverables to Review to Evaluate Tasks	**IV&V Review and Assessment Focus**
➢ SIT Plan ➢ SIT Environment Plan ➢ SIT Environment Diagrams ➢ SIT Environment Hardware List ➢ SIT Environment Software List ➢ SIT Test Cases and Scripts ➢ SIT Results Summary	**Review and assess if the following are appropriate or present any project risk:** ➢ System Integration Test (SIT) ✓ SIT requirements, plans, environment, tools, and processes for effectiveness ✓ Level of automation and availability of SIT environment ✓ Level of testing coverage achieved and verified correct code produced and documented ✓ Level of independence of SIT testing from development organization
➢ Pilot Test Plan ➢ Pilot Test Environment Plan ➢ Pilot Test Environment Diagrams ➢ Pilot Test Environment Hardware List ➢ Pilot Test Environment Software List ➢ Pilot Test Cases and Scripts ➢ Pilot Test Results Summary	➢ Pilot Test ✓ Pilot test requirements, plans, environment, tools, and processes for effectiveness ✓ Number and type of case scenarios and tests run in realistic, real-time environment ✓ Test script procedures, required pre-existing events or triggers, and expected results ✓ Test validity, documentation and results ✓ Level of independence of pilot testing from development organization
➢ Interfaces Test Plan ➢ Interface Design/Configuration ➢ Interface Test Cases and Scripts ➢ Interface Test Results Summary	➢ Interface Testing ✓ Interface testing procedures and processes compliant with industry standards
➢ UAT Plan ➢ UAT Test Cases and Scripts ➢ UAT Results Summary ➢ Acceptance Criteria Matrix ➢ UAT Environment Plan ➢ UAT Environment Diagrams ➢ UAT Environment Hardware List ➢ UAT Environment Software List ➢ Organizational Readiness Plan ➢ Organizational Readiness Results Summary ➢ Implementation Plan	➢ Acceptance and Turnover ✓ Acceptance procedures and criteria defined, reviewed, and approved with results documented ✓ Acceptance testing success, based on criteria, prior to software acceptance ✓ Level of independence of acceptance testing from contractor organization ✓ On-going contractor supplied software training during development for turnover to L&I ✓ Implementation planning completeness and success potential

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System And Acceptance Testing	
Anticipated Meetings/Deliverables to Review to Evaluate Tasks	**IV&V Review and Assessment Focus**
➢ Status Meetings ➢ Interviews with L&I staff ➢ Other meetings identified by project staff	➢ Ongoing throughout all phases ➢

Data Management

Providing valid, accurate and reliable data is a fundamental aspect of a system that is meant to support the needs of the business users. Management of data focuses on how the data is structured, stored and accessed. A quality database design ensures that the system can provide the information business user need in an efficient and secure manner. A proper data conversion ensures that users are able to access information that was collected in the legacy system within the new system without compromising the integrity of the new system. CSG conducts in-depth assessments on the plans and implementations of both the data conversion and database design.

- **Data Conversion:** The CSG IV&V team reviews the data conversion documents to ensure data integrity and validity is maintained as data is converted to support the new system. We use automated and manual tools as needed to validate the data conversion results. The CSG team facilitates discussions so that each party understands the status quo, as well as how to assess pending conversion program designs against today and tomorrow's system designs.
- **Database Design:** The CSG team reviews the conceptual and logical data models and data dictionary to ensure that they provide a clear and comprehensive view of the entities and attributes of the system and their relationships. The physical data model is reviewed to ensure that it is designed to handle data integrity and performance needs and follows naming and design standards.

The following table illustrates the inputs CSG reviews and analyzes to verify and validate the project activities. The **IV&V findings, project risks, and recommendations for improvements from** these reviews and evaluations address each activity and **are detailed in the IV&V Project Status Reports.**

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Data Management	
Anticipated Meetings/Deliverables to Review to Evaluate Tasks	**IV&V Review and Assessment Focus**
➢ Data Conversion Plan ➢ Legacy Data Structure Documentation ➢ Data Mapping Documents ➢ Data Conversion Results ➢ Conceptual Data Model ➢ Logical Data Model ➢ Physical Data Model ➢ Data Dictionary ➢	**Review and assess if the following are appropriate or present any project risk:** ➢ Data conversion ✓ Adequacy of data conversion plan ✓ Usage of verification procedures and acceptance responsibilities ✓ Adequacy of data conversion processes and tools ✓ Management of data conversion errors ✓ Efficiency of data conversion process ➢ Database Design ✓ Adherence of data models to data design standards ✓ Clarity and comprehensiveness of data models ✓ Adequacy of database performance and maintainability ✓ Adequacy of optimization processes

3.4.2.2 Initial Assessment

CSG conducts an initial project assessment to provide a project "health check" and identify any risks to mitigate, opportunities to improve, and recommendations for improvements to process and procedures to keep the project on track going forward. Our approach includes reviewing current documents and artifacts, conducting interviews with identified stakeholders, reviewing current governance, and observing initial project meetings. This process is completed and the resulting report, the **Initial Project Assessment Report**, establishes a baseline for the present state of the project.

As part of the Initial Project Assessment, CSG's IV&V project team conducts an Initial Risk Assessment at the onset of the project, and then manages risks as part of a continuous process throughout the project life cycle utilizing our TeamCSG℠ Risk Assessment Model and Risk Assessment Tracking tool.

Initial Risk Assessment Approach

CSG utilizes a proven, disciplined approach to conducting risk assessments on our IV&V projects. During Project Initiation, CSG's IV&V Project Manager reviews the UC Benefits Implementation project's Risk Management Plan to identify the approach used to manage risk throughout the project, and ensure utilization of industry-standard risk management practices. As part of the Project Planning phase, the CSG IV&V team develops a Risk Assessment Checklist based on the specific project. CSG's IV&V Project Manager walks through the checklist with the

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L&I Project Sponsor to discuss and agree on any needed adjustments to the proposed content and format.

Our approach to IV&V services is customized depending on the types of services requested. However, at a high-level, our team conducts our Initial Risk Assessment by:

- **Performing Independent Research** – Our IV&V team conducts research to ensure a thorough understanding of the UC Benefits Implementation project environment, project goals and objectives, and other critical success factors. In addition, to ensure that our IV&V project team can hit the ground running for each project, our CSG Centers of Excellence gather lessons learned and best practices from similar projects underway across the country and provide our teams with comprehensive boot camps, training, and guidance specific to each project.
- **Conducting Stakeholder Interviews and Attending Project Meetings** – CSG conducts interviews with L&I staff, as appropriate to the project, to understand the current environment and to assess project progress and status. Our team members typically also attend project meetings and review all formal meeting minutes produced from these meetings to ensure that summaries are complete and accurate and that all decisions, action items, risks, and issues are appropriately noted. Our participation in project meetings provides the opportunity for the IV&V team to maintain a full understanding of project processes, current activities, and status and to gain additional insight and understanding of project risks and issues. We welcome the opportunity to work side-by-side with the UC Benefits Implementation project team, and other project stakeholders in project meetings to contribute to the overall success of the project. The frequency of our attendance at project meetings and the stakeholders interviewed varies based on needs of the Commonwealth and the project.
- **Reviewing and Analyzing Project Processes, Files, and Documentation** – Prior to starting the IV&V Initial Risk Assessment, CSG collects all of the documentation, standards, data, and other relevant information available from L&I. Obviously, the inputs vary depending upon project. But in most cases, this information includes a high level assessment of project artifacts and deliverables completed to-date; an analysis of processes, procedures, and governance practices being exercised; and reviews of any previously identified or documented risks and issues.

Our IV&V Initial Risk Assessment establishes a baseline project health status at the start of the project and provides immediate feedback any key tasks defined in the RFP.

Initial Risk Assessment Checklist

The output of our IV&V team's execution of the Initial Risk Assessment Checklist is our **Initial Assessment Report**, which contains detailed observations, recommendations, and a risk rating for each specific checklist item. Please see *Appendix B, Sample Deliverables*, for additional details on the format and content of this deliverable.

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The following table provides a high-level sample of the contents of the Initial Risk Assessment Checklist. The assessment categories and checklist questions are customized for each project. In the TeamCSG℠ Risk Assessment Model checklist, each question has a unique identifier so that the item can be tracked throughout the life cycle of our IV&V project using our *TeamCSG℠ Risk Assessment Tracking tool*.

Sample Assessment Category	Description/Sample Checklist Questions
Project Management	➢ Does the project management team and project organization, including lines of reporting and responsibilities, provide adequate technical and managerial oversight of the Project? ➢ What are the statuses of the project in terms of progress, resources, budget, schedules, workflow, and reporting?
Training	➢ Are training materials user-friendly and help desk services easily available to all users?
Requirements Management	➢ Are the system requirements well-defined, understood and documented? Do system performance requirements achieve business objectives and support operational efficiency targets? ➢ Can the requirements be traced through design, code and test phases to verify that the system performs as intended and contains no unnecessary software elements? Is there a traceability tool in place?
Operating Environment	➢ What is the historic availability and reliability of the system including the frequency and criticality of system failure? What is the methodology used to measure availability? What standards are they compared against? ➢ What are the results of any volume testing or stress testing conducted on the system? What is the methodology used to test additional volumes? Can you provide specifics relating to increased capacity in incremental loads?
Development Environment	➢ Is the performance of the new and existing development hardware configurations adequate to meet the needs of system development? ➢ Is the hardware maintainable, easily upgradeable, and compatible with the Commonwealth's existing development and processing environment?
Software Development	➢ Are the design products conforming to the project design methodology and standards? ➢ Can the design requirements within design documents be traced back to system requirements?

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Sample Assessment Category	Description/Sample Checklist Questions
System and Acceptance Testing	➢ Are the plans, requirements, environment, tools, and procedures used for integration testing of system modules adequate for system integrating testing? Are test execution procedures documented sufficiently to provide clear instructions? ➢ Are the level of automation and the availability of the system test environment adequate to meet the requirements of the System Integration Test?

As an output of the execution of our Risk Assessment Checklist, our IV&V team creates the Detailed Observations and Recommendations section of our Initial Assessment Report. The table below provides the format of this section, and the columns in the checklist are defined in the table below.

Column Heading	Definition
Category	The categories of risk required in this IV&V Project
Task ID	The ID number aligns to the specific tasks required
Description	The task description converted into a question format
Observations	CSG's comments based on the results of the interviews conducted, meetings attended, and documents reviewed
Recommendations	Recommended actions to address the Observations
Risk Level	Low = Low risk to the project success
	Medium = Some risk to project success
	High = High risk to project success
	None = No risk to the project, or not applicable to this review

Initial Assessment Report

In addition, CSG reviews L&I's analysis of risk areas of the implementation and the risk mitigation plan for those identified risks. We include recommendations for any deficiencies we find during the review of the risk mitigation plans. The results and recommendations of our assessments are written and presented as part of the **Initial Assessment Report**.

The Initial Assessment Report identifies the initial list of risks, along with detailed observations and recommendations, which we then load into our **TeamCSG℠ Risk Assessment Tracking Tool** to monitor risks and recommendations from one report cycle to the next throughout the project. This process determines increasing or decreasing risk levels and project health not only at an item level but also within a category or subcategory.

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At a high level, the following table provides additional detail on the format and contents of the Initial Assessment Report.

Initial Assessment Report Summary	
Report Section	**Description**
Executive Summary	➢ Provides an overview of the purpose of the report, background of the project, and focus of our team's IV&V tasks and activities ➢ Includes a concise summary of the high-priority risks that our team observed during our Initial Risk Assessment activities ➢ Contains a Results Summary Dashboard
Key Risks and Recommendations	➢ Key risks and recommendations identify those areas that need immediate highlighting or focus to improve or maintain the health of the project. ➢ Key risks are those rated as *High*, during our assessment activities
Detailed Observations and Recommendations	➢ Contains the detailed descriptions of review tasks in question format and are based on the Initial Risk Assessment Checklist. ➢ Items are grouped by category and task that align with the requirements of the project. Each task contains detailed observations, recommendations, and a risk rating for specific checklist items.
Catalog of Review	➢ Includes a list of the project materials reviewed as well as the list of interviews conducted and meetings attended by the CSG IV&V team to perform this Initial Risk Assessment

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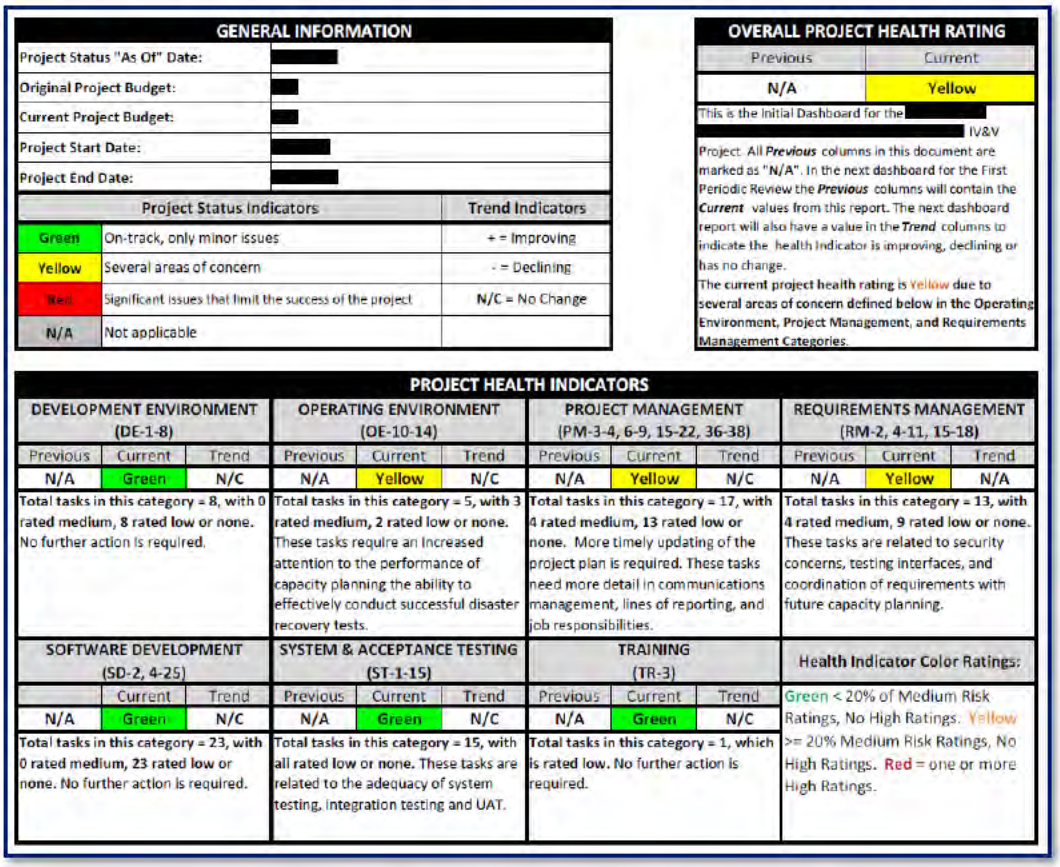
Sample Assessment Results Summary Dashboard

The following screenshot provides a sample of the Assessment Results Summary Dashboard included in the **Initial Assessment Report**. The content and format of the report is agreed upon with the L&I Project Sponsor during the Project Initiation phase.



GENERAL INFORMATION

Project Status "As Of" Date:	[redacted]
Original Project Budget:	[redacted]
Current Project Budget:	[redacted]
Project Start Date:	[redacted]
Project End Date:	[redacted]

Project Status Indicators		Trend Indicators
Green	On-track, only minor issues	+ = Improving
Yellow	Several areas of concern	- = Declining
Red	Significant issues that limit the success of the project	N/C = No Change
N/A	Not applicable	

OVERALL PROJECT HEALTH RATING

Previous	Current
N/A	Yellow

This is the Initial Dashboard for the [redacted] IV&V Project. All ***Previous*** columns in this document are marked as "**N/A**". In the next dashboard for the First Periodic Review the ***Previous*** columns will contain the ***Current*** values from this report. The next dashboard report will also have a value in the ***Trend*** columns to indicate the health Indicator is improving, declining or has no change.

The current project health rating is Yellow due to several areas of concern defined below in the Operating Environment, Project Management, and Requirements Management Categories.

PROJECT HEALTH INDICATORS

DEVELOPMENT ENVIRONMENT (DE-1-8)			OPERATING ENVIRONMENT (OE-10-14)			PROJECT MANAGEMENT (PM-3-4, 6-9, 15-22, 36-38)			REQUIREMENTS MANAGEMENT (RM-2, 4-11, 15-18)		
Previous	Current	Trend	Previous	Current	Trend	Previous	Current	Trend	Previous	Current	Trend
N/A	Green	N/C	N/A	Yellow	N/C	N/A	Yellow	N/C	N/A	Yellow	N/A
Total tasks in this category = 8, with 0 rated medium, 8 rated low or none. No further action is required.			**Total tasks in this category = 5, with 3 rated medium, 2 rated low or none. These tasks require an increased attention to the performance of capacity planning the ability to effectively conduct successful disaster recovery tests.**			**Total tasks in this category = 17, with 4 rated medium, 13 rated low or none. More timely updating of the project plan is required. These tasks need more detail in communications management, lines of reporting, and job responsibilities.**			**Total tasks in this category = 13, with 4 rated medium, 9 rated low or none. These tasks are related to security concerns, testing interfaces, and coordination of requirements with future capacity planning.**		

SOFTWARE DEVELOPMENT (SD-2, 4-25)			SYSTEM & ACCEPTANCE TESTING (ST-1-15)			TRAINING (TR-3)			Health Indicator Color Ratings:
	Current	Trend	Previous	Current	Trend	Previous	Current	Trend	
N/A	Green	N/C	N/A	Green	N/C	N/A	Green	N/C	Green < 20% of Medium Risk Ratings, No High Ratings. Yellow >= 20% Medium Risk Ratings, No High Ratings. Red = one or more High Ratings.
Total tasks in this category = 23, with 0 rated medium, 23 rated low or none. No further action is required.			**Total tasks in this category = 15, with all rated low or none. These tasks are related to the adequacy of system testing, integration testing and UAT.**			**Total tasks in this category = 1, which is rated low. No further action is required.**			

Figure 30: Sample Assessment Results Summary Dashboard

Following our Initial Risk Assessment, our IV&V team continues to monitor project risks throughout the project life cycle as appropriate for our IV&V project. CSG tracks and captures all risks identified in the Initial Risk Assessment in the ***TeamCSG℠ Risk Assessment Model Tool***, which greatly facilitates the risk tracking and reporting process. Once a project stakeholder or team member realizes a risk exists, the CSG and L&I project teams ensure that the appropriate risk response plan is executed. If necessary, the team assesses whether the Project Plan should be updated or rescheduled, and analyzes the revision of the baseline to reflect the approved action plans. The CSG IV&V team then evaluates the risk response plan to determine the effectiveness of the plan or if an issue should be identified and logged for analysis and response. The CSG IV&V team is continually monitoring risk during the life of the project to assess and control uncertainties that may result in undesirable consequences.

The following section describes how our IV&V team conducts ongoing risk assessment activities using our ***TeamCSG℠ Risk Assessment Tracking Tool***.

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3.4.2.3 Ongoing Assessment Reports

As part of our IV&V services to L&I, CSG reviews critical components of the project and each deliverable throughout the project. Our periodic IV&V effort, which is progressively elaborated through the project life cycle into greater detail in our IV&V Project Management Plan, is divided between the independent on-going IV&V activities specific to this project and focus on the DDI Contractors' deliverables. We keep our finger on the pulse of the project's health and conformance to defined standards, effective identification and management of risks, high-quality processes, approaches, and deliverables, and testing to assure a successful UC Benefits Replacement System Modernization implementation. The status, results, findings, and recommendations are reported each week in our **IV&V Project Status Report**.

CSG has the experience to determine which meetings are appropriate to attend, what data is necessary to review, which stakeholders and users should be polled for feedback, and works with the L&I Project Sponsor to request participation in meetings, access to data, and access to stakeholders to execute IV&V activities. Through participation in meetings, securing access to the required data identified by the CSG staff, and soliciting feedback from users and stakeholders, CSG provides ongoing reinforcement of:

- Early identification and reporting of risks
- Enhancing the Departments' insights into project risks
- Early detection of project cost and schedule impacts
- Improving the quality of deliverables
- Facilitating open project communication.

The review process is executed via a combination of verification and validation:

- **Verification:** to assure that software interfaces to external systems, and other work products and processes developed by the DDI contractor perform according to specifications and requirements.
- **Validation:** to ensure that the system as developed meets the intended needs and uses of L&I, including any changes to the business operations.
- **Validation and Verification:** that the delivered software components behave according to stated requirements and to assess the readiness of the software for go-live, by coordinating and conducting acceptance testing on functionality within all project phase milestones as described in this RFQ and resulting vendor contract.

We ensure that acceptance criteria for each phase of the project is clearly identified along with established performance measures before the start of development of each planned deliverable. Following is a sample of the metrics that the CSG Team collects and monitors:

- **Project Schedule** – Weekly reviews of the DDI contractor's Project Plan (estimated versus actual) to ensure that all tasks and deliverables in the Project Plan are completed timely.

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- **Project Metrics** – Weekly reviews of the DDI contractor's metrics as defined in the DDI Contractor's Performance Management Plan and Weekly Status Reporting Plan.
- **Project Budget** – Monthly review or an as agreed upon schedule with L&I of the project budget to confirm all expected costs for the project have been included, and resource rates are reasonable given the market and other conditions. We validate the budget and schedule throughout the project, ensuring both are regularly updated to indicate tasks completed, work in progress, and signed change orders.
- **Vendor Deliverable Statistics** – Weekly reviews to maintain statistics on the DDI contractor's deliverables to track completeness and errors.
- **Risk Profile Trending** utilizing our *TeamCSG℠ Risk Assessment Tracking Tool* – focused, intensive reviews of project progress and activities, bringing the expertise to report on progress and risks then provide actionable recommendations to address these risks. Our assessments identify opportunities to improve, risks to mitigate, and recommendations to keep the project on track.
- **Issue Tracking** utilizing our *TeamCSG℠ Project Tracker* – processes and tools that are used to identify, track, manage, and report project issues from identification through closure, monitoring, and reporting on how long the issue resolution process takes to complete.

If CSG discovers a situation, or practice, that we believe requires immediate attention (e.g., failure of the DDI contractor to gather complete requirements or failure to accurately report defects), our team notifies L&I immediately. The report given to L&I provides a summary of the issue or incident, supporting evidence, an impact assessment, and recommended resolution(s) as agreed upon in the approved **IV&V Project Management Plan**.

Ongoing Risk Assessment – TeamCSG℠ Risk Assessment Tracking Tool

The images on the following pages provide snapshots of the reports that can be produced from the *TeamCSG℠ Risk Assessment Tracking Tool* and can be included as part of each required report to graphically demonstrate project health and progress.

The first snapshot on the shows a sample the **IV&V Risk Recommendation Implementation Status Report.** This report provides a quick view of the number and percent of identified risks for which the CSG Team has provided recommendations that have been implemented, and the trend of the number of risk recommendations implemented since the last report. The report also provides a Current Risk Index, developed from the number of risks receiving a high, medium, or low risk rating – the lower the Risk Index, the better the overall project health.

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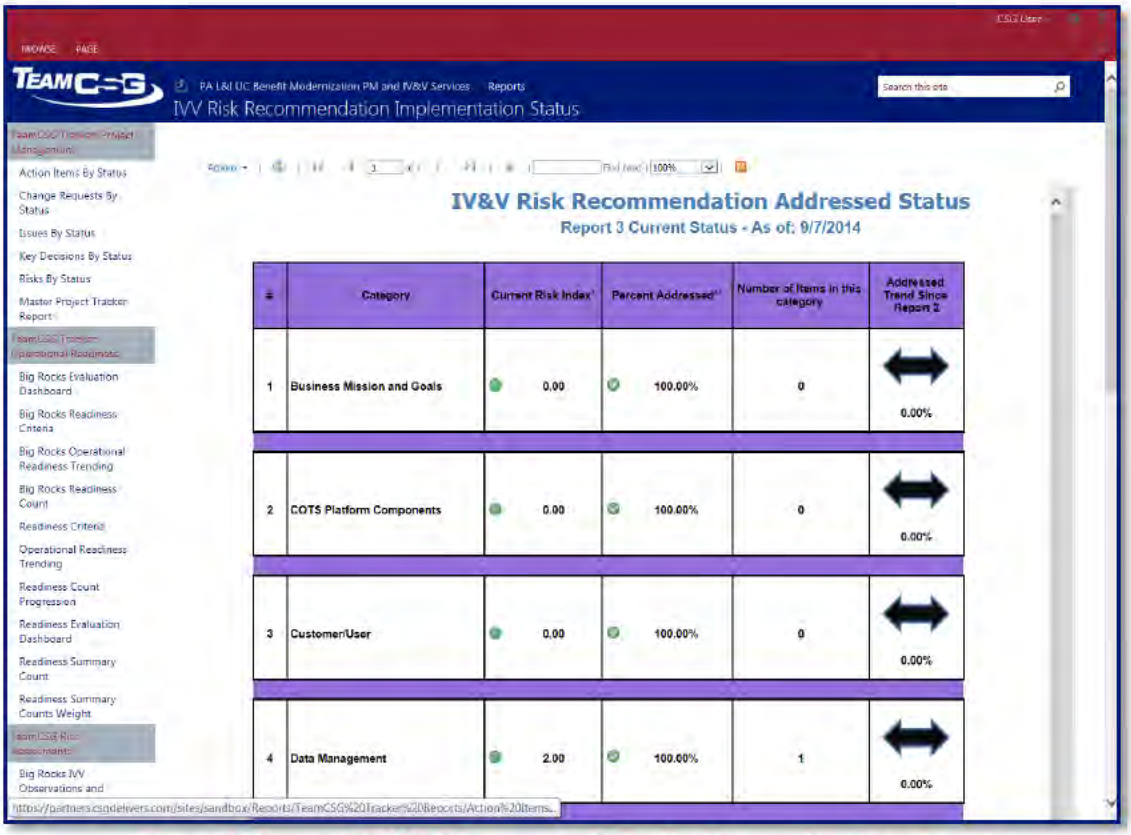

Figure 31: Sample IV&V Risk Recommendation Implementation Status Report

The snapshot on the right displays the **Dashboard Report: IV&V Risk Recommendation Implementation.** This report provides an easy way to quickly see the status of recommendations made by the CSG Team to address project risks, the changes made since the last report, and the number of risks rated high, medium, and low by implementation status. The report also reflects, by category, the number of identified risks ranked as high, medium, or low.

Figure 32: Sample Dashboard Report – QA Risk Recommendation Implementation Dashboard Report

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The snapshot below shows the **Risk Assessment History Report.** This report provides an overview of each risks' status, rank, and response strategy from one reporting period to the next, including the current reporting period.

Risk Assessment History

Category	Sub Category	Sid ID	Recommendations	As Of: 11/12/2013 Current Nov - 2013			Report 2 Sep - 2013			Report 1 Aug - 2013		
				Status	Risk	Response Strategy	Status	Risk	Response Strategy	Status	Risk	Response Strategy
Data Management	Data Conversion	DM-02	Closely monitor the progress of conversion against the Data Conversion Plan	Closed	[redacted]	None	Closed	[redacted]	None	New	[redacted]	None
Data Management	Data Conversion	DM-03	Bring the error rates down.	Open	[redacted]		Open	[redacted]				
Development Environment	Development Software	DE-06	Investigate a way to reuse reporting modules to expedite report building.	Closed	8	Avoidance	Closed	8	Avoidance	Closed	8	Avoidance
Operating Environment	Database Software	OE-07	Consider changing the database platform to a more mainstream and optimal platform for the system.	Closed	4	Transference	Closed	4	Transference	Open	4	Transference
Operating Environment	System Hardware	OE-01	Arrange a meeting with vendor infrastructure specialist	New	N/A							
Operations Oversight	Operational Goals	OO-04	Keep the goals in line with the other projects in the organization.	Closed	6	Avoidance	Closed	6	Avoidance	Open	6	
Operations Oversight	Operational Processes and Activity	OO-06	Create and document a disaster recovery plan.	Closed	[redacted]	Acceptance	Closed	[redacted]	Acceptance	New	[redacted]	
Operations Oversight	Pilot Test	OO-04		Open	6		Open	6				
Other	Other	OTH-03	Ease the customers confidence.	Closed	1	None	Closed	1	None	Open	1	
Other	Other	OTH-01		New	2	Transference	New	2	Transference			
Other	Other	OTH-01	Define a solution	Open	4	Acceptance	Open	4	Acceptance			
Planning Oversight	Procurement	PO-05	Verify early with the vendor if they are participating in the QA.	Closed	1	Avoidance	Closed	1	Avoidance	New	1	
Project Management	Project Management	PM-09	Ensure Issue Resolution is included in the Project Management Plan.	Closed	1	Mitigation	Closed	1	Mitigation	Closed	1	Mitigation
Project Management	Project Management	PM-06	Get the Task Dependencies addressed.	Closed	4	Mitigation	Closed	4	Mitigation	Open	4	
Project Management	Project Sponsorship	PM-01	The roles and relationships of the project sponsor, project PM, vendor PM and any established workgroups should be defined in the Project Management	New	2		New	2		New	2	
Project Management	Project Sponsorship	PM-02	Clearly define the objectives and communicate them to the team.	New	[redacted]		New	[redacted]		New	[redacted]	
Project Management	Project Organization	PM-30	Recommend	New	4		New	4		New	4	
Project Management	Project Management	PM-09	fix	Closed	4	None	Closed	4	None	New	4	
Project Management	Project Organization	PM-30	Begin an orientation program for the claims department prior to requirements validation sessions.	New	[redacted]		New	[redacted]		New	4	
Project Management	Management Assessment	PM-04		Open	6		Open	6				
Project Management	Communication Management	PM-16	Have someone document the meetings.	Open	[redacted]		Open	[redacted]				
Project Management	Project Organization	PM-30		New	N/A	Transference						
Project Management	Project Organization	PM 30		New	N/A							
Quality Management	Quality Assurance	QA-01	Recommend a QA plan be developed.	Open	N/A	Avoidance	New	[redacted]	Avoidance	New	[redacted]	Avoidance
Requirements Management	Requirements Analysis	RM-11	Recommend that a minimal amount of prototyping be completed for a visual confirmation of system.	Closed	[redacted]	Mitigation	Closed	[redacted]	Mitigation	Open	[redacted]	Mitigation
Software Development	Code	SD-20	Develop a policies or standards document and ensure they are followed.	Open	[redacted]		Open	[redacted]		Open	[redacted]	
Software Development	Unit Test	SD-23	Have the unit testers generate test plans.	Closed	2	Avoidance	Closed	2	Avoidance	New	2	
Software Development	High-Level Design	SD-01		Open	[redacted]	Avoidance	Open	[redacted]	Avoidance			
System and Acceptance Testing	Acceptance and Turnover	ST-11	Create a formal approval process and keep to the process.	Closed	2	Mitigation	Closed	2	Mitigation	Open	4	
System and Acceptance Testing	Acceptance and Turnover	ST-15	Create a plan	Open	4	Mitigation	Open	4	Mitigation			
Training	User Training and Documentation	TR-03	Create a plan and a helpdesk.	Closed	6	Mitigation	Closed	6	Mitigation	Open	6	Mitigation
Training	User Training and Documentation	TR-05	Monitor who is being trained.	New	4		New	4		New	4	

Figure 33: Sample Risk Assessment History Report

The CSG tools provide real time access to L&I. CSG believes that an effective IV&V engagement provides real time visibility into the health of the project and our tools facilitate this.

3.4.2.4 Post Implementation Services

The Operations and Maintenance Phase begins after the UC Benefits System Modernization go-live. Activities in this phase include ongoing changes, corrections, or enhancements to the system and are characterized as either maintenance-related or as an enhancement effort. During this phase CSG will provide IV&V assessments to ensure that issues and risks are identified during the warranty period. These assessments include review of project management, implementation processes, system performance, issue resolution and change management processes.

The CSG IV&V Team will provide an assessment one month after the implementation that assesses the implementation of the system and the related operational and maintenance plans and procedures. Thereafter, CSG will switch from monthly assessments to bi-monthly assessments to ensure that operations and maintenance processes are implemented according

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to the defined plans and procedures. These assessments will be presented to the Executive Steering Committee bi-monthly.

CSG reviews and evaluates operations and maintenance deliverables and works to ensure that the DDI contractor provides the proper level of software maintenance and modification support service, including meeting the performance standards identified in their contract. The review also ensures that an appropriate level of DDI contractor staff resources is identified to reliably operate, maintain, and enhance the new UC Benefits Replacement System.

Following is a sample of the DDI contractor deliverables that the CSG team reviews:

- **System Support Plan** – Monthly review of the DDI contractor's System Support Plan to ensure that the plan is sufficient for the support of the system and that the plan is being followed by the DDI contractor.
- **Staffing Requirements Capability Report** – Monthly review of the DDI contractor's staffing plan to ensure that there is a sufficient number of people with the appropriate skillsets needed to maintain the system.
- **System Documentation** – Monthly review of the system documentation to ensure that it reflects the current system and keeps up with system changes.
- **Operations & Maintenance Procedures** – Monthly review of the operations and maintenance procedures to ensure that it reflects the current system and keeps up with system changes.

If CSG discovers a situation or practice that we believe requires immediate attention, our team notifies L&I immediately. We give L&I a report that provides a summary of the issue or incident, supporting evidence, an impact assessment, and recommended resolution(s) as agreed upon in the approved **IV&V Project Management Plan**.

Deliverable: Final Recommendation Report

The Final Recommendation Report is the final written determination of CSG's expert opinion that the implemented UC Benefits Modernization solution meets the functional and non-functional requirements that were defined in the UC Benefits Modernization project.

We progressively develop the template and content of this report over the course of the project, soliciting periodic feedback from the L&I Project Sponsor so final delivery exceeds expectations.

At a high level, the following table provides an example of the format and contents of the Final Recommendation Report. For a sample of the Final Recommendation Report, see *Appendix B, Sample Deliverables.*

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Final Recommendation Report Summary	
Report Section	**Description**
Executive Summary	➢ Provides an overview of the purpose of the report, background of the project, and focus of our team's IV&V tasks and activities ➢ Includes a concise summary of the high-priority risks that remain following our final assessment activities ➢ Description of the relationship of the implementation to the RFP requirements and design documentation
Key Risks and Recommendations	➢ Key risks and recommendations identify those areas that need immediate highlighting or focus to improve or maintain the health of the project. ➢ Key risks are those rated as *High*, during our assessment activities
Detailed Observations and Recommendations	➢ Contains the detailed descriptions of review tasks in question format and are based on the Risk Assessment Checklist. ➢ Items are grouped by category and task that align with the requirements of the project. Each task contains detailed observations, recommendations, and a risk rating for specific checklist items. ➢ Observations related to the implementation to the RFP requirements and design documentation
Catalog of Review	➢ Includes a list of the project materials reviewed as well as the list of interviews conducted and meetings attended by the CSG IV&V team to perform the final Risk Assessment

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3.4.3 Task Hours by Role

CSG provides the table below detailing the roles and hours used to complete this task.

Role	Hours
Quality Assurance Manager *Bill Vacha*	3,960
Quality Assurance Architect *Troy Rutten*	2,760
Testing Technician/ Usability Testing Specialist *Vennela Padi*	760
Usability Testing Specialist *Ramya Senthilkumar*	760
Technical Analyst *Mark Daflucas*	2,520

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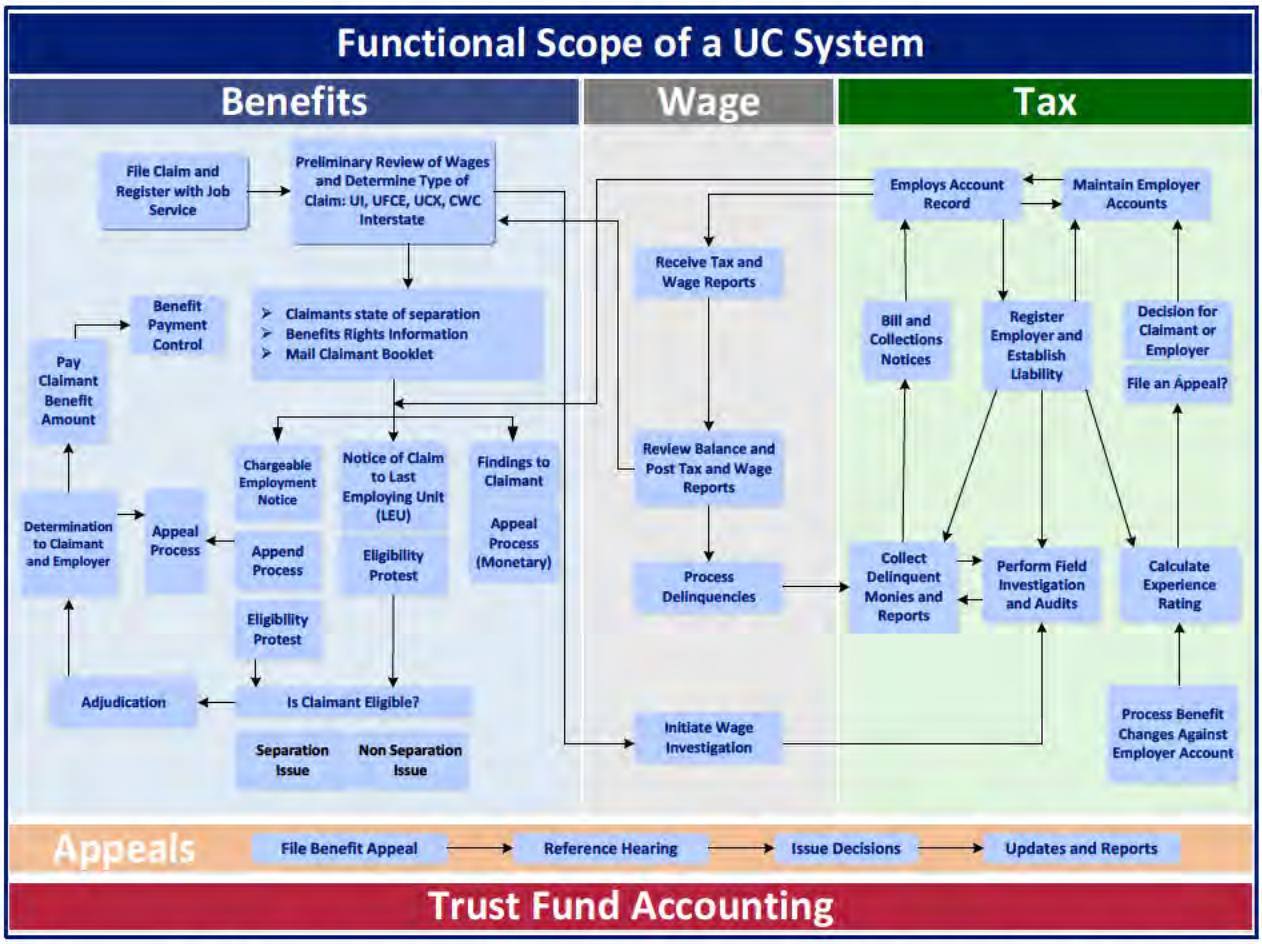
3.5 Optional UC Tax Functionality

CSG uses the same approach in the Pre-Solicitation and Solicitation development of a Tax and Wage Record System RFP as demonstrated for the UC benefits program (illustrated in Sections 3.2 and 3.3). Our proposal fully addresses the requirements and unique needs of your project. We utilize our CSG REALize℠ UC-specific tools and templates to supplement the existing "best business practices" documentation. CSG then adapts our methodology to follow your vision.

As illustrated below the collection, storage and retrieval of wage records are a major part of any tax and benefit system. CSG would include wage records in the assessment phases. We look at each segment of UC Tax System ""As-Is"" to form the project baseline. We then develop high-level ""To-Be"" requirements and subsequent detailed ""To-Be"" requirements that document a path forward for the Commonwealth.



CSG conducts a visioning session with key members of L&I leadership to verify the high level goals and objectives of the UC Tax and Wage Record Modernization phase of the ITPs. Following the visioning session, CSG creates a summary of the session and distributes it to L&I to confirm the goals and objectives of the UC Tax and Wage Record Modernization phase are understood. Executing this process with L&I also allows CSG to structure the research and evaluation processes to achieve L&I's goals and objectives.

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Our overall approach is to conduct Initiation activities that lay the foundation for a successful project, including updating the project schedule and Project Management Plan for UC Tax and Wage Record Modernization phase. The Requirements Management Plan would also be updated for Pre-Solicitation, Solicitation, and Procurement. The chart below provides a breakdown the functional areas of the Tax Processes that CSG use to develop this RFP which provides the needs and requirements for a dynamic Tax System.

The core UI Tax functions are defined below:

UC Tax Process Areas	
➢ Employer Registration	➢ Tax Account Maintenance
➢ Tax and Wage Reporting	➢ UI Required Reports
➢ Employer Payments	➢ Tax Performance System(TPS)
➢ Tax and Wage Report Delinquency	➢ Data Validation
➢ Tax Collections	➢ Field Tax Audits

Employer Registration

- Creates and distributes new registration packages
- Receives new and re-activation registrations
- Determines employer liability
- Assigns account number and contribution rates
- Manages SUTA dumping detection and prevention
- Manages total and partial employer account activity for business acquisitions and mergers
- Maintains experience rating accounts
- Processes on-going entity changes to employer accounts
- Stores employer account information
- Registers Third Party Administrators (TPAs), manages agent accounts and employer/agent relationships

Tax and Wage Reporting

- Receives and processes tax and wage reports submitted by employers/employer representatives
- Receives adjusted reports and makes reports adjustments from employer/employer representatives
- Makes adjustments to contribution calculations and reported wages

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Employer Payments

- Receives employer payment for their state unemployment contributions
- Creates a payment transaction to credit the employer's account
- Prepare payment for deposit

Tax and Wage Report Delinquency

- Identifies employer report delinquencies for tax and wage reports
- Creates and issues delinquency notices to employers
- Determines and assesses interest and penalties for delinquencies
- Create estimated reports
- Create documents to enforce collections
- Make assignments to field staff to file legal documents and/or collect delinquent reports
- Stores and tracks delinquency data

Tax Collections

- Identifies and manages unpaid contributions
- Determines interest and penalties for past due accounts
- Generate legal actions allowable under the Commonwealth laws to collect delinquent monies
- Make assignments to field staff to collect delinquent monies and process legal collection documents

Field Tax Audit

- Selects employers for audits and performs audits on both small and large employers
- Processes and records audit information
- Ensures employer compliance with reporting compliance and determine if wages and taxes have been reported correctly

Tax Account Maintenance

- Generates tax rates notices and billing notices to contributory and reimbursable employers
- Produces quarterly notices of benefits charges to contributory employers
- Issues employer refunds
- Makes changes to employer records (address, liability)

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- Process request to terminate, reactivate an account or voluntary coverage

Special Programs

- Tax Performance Systems
- Data Validation
- UI Required Reports

Summary

CSG has the tools and experience to create a technology roadmap and RFP for a Tax System that:

- Leverages scalable technology
- Accommodates and anticipates growth
- Utilizes technology assets in the commonwealth's technology architecture standards
- Leads to effective identification, selection and implementation of the UC Benefits System/Solution
- Develop a competitive procurement for the replacement UC Benefits System
- Select a solution and vendor for the new UC Benefits System

We leverage our tools and experience established completing the benefits phase of the UC Benefits Modernization Project to efficiently and successfully lead L&I through the requirements, procurement and implementation of a replacement Tax and Wage Record system.

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3.6 Reports and Project Controls

The CSG PMO produces work products and deliverables throughout the duration of the UC Benefits Modernization Project. Most of the deliverables on the project are in the form of documents, and in general, each deliverable is presented per the process illustrated in the figure below. The Deliverable Acceptance Process allows L&I to review and approve document formats and content early in the deliverable development process.

Figure 34: Deliverable Acceptance Process

The specific steps included in the deliverable development, review, and approval process for all UC Benefits Modernization Project deliverables are outlined below.

1. **Deliverable Expectations Document (DED)**
   - ✓ Prior to developing any deliverable, the UC Benefits Modernization Project Team develops and submits an outline of the deliverable with some preliminary draft content and reviews it with the L&I Project Manager to confirm agreement on the format, presentation, and expected content.
   - ✓ The L&I Project Manager must approve the content and format of the DED prior to the UC Benefits Modernization Project Team developing the deliverable.
2. **Previews of the deliverable as works-in-progress**
   - ✓ To efficiently build agreement on deliverable content, works-in-progress are periodically provided to the L&I Project Manager for preview and feedback.
3. **Internal development and review**
   - ✓ When the DED is approved, the UC Benefits Modernization Project Team develops a deliverable draft, conducting one or more internal reviews of the document following the quality management process for creating a quality project deliverable.
4. **Deliverable submission for review**
   - ✓ When the UC Benefits Modernization Project Team has completed the deliverable, it is submitted to the L&I Project Manager for review and approval.
   - ✓ For more complex deliverables, a review session is held to walk through the document with the L&I Project Manager and other senior stakeholders as determined by the L&I Project Manager, highlighting key points and eliciting feedback.

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- ✓ The L&I Project Manager reviews the [redacted]eliverable within 5 or 10 business days (based on the complexity of the deliverable) and documents comments and requested changes to the UC Benefits Modernization Project Team using a Deliverable Comment Log, or another format agreed to by the CSG PMO Project Manager and the L&I Project Manager. All reviewer comments are consolidated into one deliverable review comment log or document.

5. Revision and resubmission

- ✓ The UC Benefits Modernization Project Team addresses the comments and requested changes noted in the Deliverable Comment Log and responds with their resolution within five business days and resubmits the deliverable and updated comment log to the L&I Project Manager.
- ✓ The L&I Project Manager reviews the UC Benefits Modernization Project Team's resubmitted deliverable within five business days and may submit requests for further modifications as necessary to address the original feedback.

6. Final acceptance and approval

- ✓ Once all changes in the Deliverable Comment Log are approved, the L&I Project Manager provides final acceptance of the deliverable.

CSG has additionally provided the following PMO sample reports and templates from recent UI modernization PMO projects. Samples for the following reports and project controls are provided in *Appendix B, Sample Deliverable*, and will also provide Ad Hoc Reporting as requested by L&I.

- Meetings
  - ✓ Kickoff meeting
  - ✓ Meeting Agenda Template
  - ✓ Bi-Weekly Director's Report from MI (look to VMW)
  - ✓ Monthly Executive Steering Committee
- Project Management Plan
- Status Report
- Problem Identification Report
- Final Recommendation Report

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4. PRIOR EXPERIENCE

CSG brings more than 17 years of experience providing state government program subject matter expertise to our public sector clients, and we look forward to working with Pennsylvania on this important Unemployment Compensation Modernization Project Management and IV&V Services project. Our knowledge and experience is embodied both in the team members we are proposing for this engagement and our corporate qualifications.

CSG has the project experience, UI program knowledge, and subject matter expertise to deliver outstanding results for Commonwealth of Pennsylvania.

- CSG is *the* national leader in Unemployment Insurance program modernization with an unrivaled history of success.
- We provided PMO, solicitation support, and oversight services to ensure a successful UI benefits and tax system modernization for the state of Michigan – the fastest in the country.
- We have vast experience assisting our state government clients in the development of procurement documentation and business and technical requirements specifications.
- CSG brings you the expertise and experience you need to establish and operate a successful full-service PMO.

4.1 Corporate Experience

CSG's mission is to help our clients successfully execute projects that accomplish their policy and organizational objectives. We have an extensive track record of delivering high-quality services for our state government clients. We bring a thorough understanding and knowledge of the current state of the Unemployment Insurance market and state government system modernizations, including federal and state laws, regulations, and guidelines for procurement of a large, complex system. Including multiple projects where CSG provided PMO support for a legacy system and unemployment benefits legacy system replacement projects. Additionally, the CSG team members have vast experience working with each other on Unemployment Compensation system modernization and IV&V projects across the nation. We leverage this experience to allow our team to "hit the ground running" and deliver unparalleled services. CSG's corporate experience is provided in more detail in the following sections.

- **CSG knows project management**. CSG provides program and project management expertise for our public sector clients in numerous technology and functional environments, including **Unemployment Insurance systems**, state government tax and revenue systems, Motor Vehicle and Licensing Systems, Medicaid Management Information Systems (MMIS), Integrated Eligibility Systems (IES), and Health Insurance Exchanges (HIX), and we have been providing these services since our inception in 1997. CSG has direct experience providing project management office oversight of COTS solutions and has overseen the only true COTS Unemployment Insurance solution implementation in the country for the State of Michigan. Coming off of an expensive UI solution implementation project failure, Michigan contracted CSG to provide project management office, solicitation support, and implementation oversight services to ensure a successful Michigan UI benefits and tax modernization project. The selected COTS solution was successfully implemented within the state's implementation milestones. In addition, we have provided full software development lifecycle implementation oversight services for large-scale system modernization projects for

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numerous states, including **Arizona, Florida, Illinois, Indiana, Iowa, Kentucky, Michigan, Mississippi, Missouri, Ohio, Oregon, Texas, and Wisconsin**.

- **CSG knows Unemployment Insurance.** These projects are not only propelled by our talented, experienced staff, but also by the CSG Unemployment Insurance Center of Excellence. The CoE continually monitors the shifting national landscape for modernization efforts occurring throughout the country, and pending legislative changes that could impact UI program processes. This ensures that our CSG project teams are always current on business and technology best practices, while allowing them to remain focused on the projects at hand. We have a reputation for providing thought leadership to the industry through participation in multi-stakeholder, collaborative workgroups, committees, and organizations.
- **CSG knows procurement and evaluation.** CSG has a broad range of experience assisting our state government clients in the development of procurement-related documentation, business and technical requirements specifications, and strategic planning documentation. We have assisted in the development of a significant number of Requests for Proposals (RFP) and Requests for Information (RFI) to assist state governments in managing their procurement processes in support of their critical initiatives. We have provided management, subject matter expertise, and business and technical assistance to state agencies procuring large, complex computer systems, including facilitating requirements gathering sessions, documenting business and technical requirements, creating use cases, and evaluating proposals and vendor demonstrations. CSG brings vast experience facilitating joint application requirements (JAR) sessions to elicit consistent, useful, and non-duplicate requirements, maximizing system efficiency. CSG's evaluation expertise spans all of our service offerings and practice areas. We have extensive experience researching and evaluating current business and technical capabilities of systems and resources for our clients. CSG also has significant experience evaluating the needs of client stakeholders to ensure that our work products and deliverables align with our clients' goals and objectives. Our evaluation expertise includes developing comprehensive Proposal Evaluation Plans (PEP), evaluation criteria, and evaluation of vendor demonstrations and presentations to guide the management of vendor evaluation and selection for our clients' procurement efforts. Additionally, CSG brings direct experience in assisting states in the development of contract-related documentation, setting the stage for the development of strong, enforceable contracts.
- **CSG knows implementation oversight and IV&V.** Our proactive and collaborative IV&V approach helps mitigate risk factors and eliminate critical problems before they occur. **We believe in "no surprises."** Our approach to IV&V services focuses on **minimizing the risks** associated with large, complex projects, such as the implementation of a UI benefits system. CSG has experience continuously monitoring our clients' projects to ensure the plans and procedures are being followed throughout the life cycle of the projects. We are a recognized market and thought leader in IV&V, quality assurance,

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quality control, and independent analysis and testing with an unrivaled commitment to customer success. CSG has performed IV&V and project oversight services in the states of **Arizona, Colorado, Georgia, Illinois, Indiana, Iowa, Kansas, Missouri, Mississippi, New Mexico, North Dakota, Ohio, Oregon, Rhode Island, Wisconsin, and Wyoming**.

We understand the state-government landscape in Pennsylvania; we bring extensive project management, oversight, and requirements management and solicitation services experience; and, we have significant IV&V expertise in order to leverage best practices from multiple projects across the country. The following pages provide summaries of our experience. Please see *Appendix A.4, RFQ Appendix G: Project References*, for detailed project descriptions and contact information from three of our recent initiatives relevant to this scope of work.

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4.1.1 Relevant Project Descriptions

The following matrix provides an overview of CSG's experience and qualifications completing projects of a similar size and scope for our state government clients. Projects listed below and marked with an asterisk (*) are described in more detail immediately following the matrix.

	Unemployment Insurance	Project Management	IT System Conversions	Data Migration	Requirements Development / Management	Solicitation Support	Software Development Life Cycle (SDLC)	COTS Implementation	Gap Analysis	IV&V Services
Michigan Unemployment Insurance Agency Unemployment Insurance System Modernization Project Control Office (PCO)*	✓	✓	✓	✓	✓	✓	✓	✓	✓	
VMW (Vermont, Maryland, West Virginia) Consortium Unemployment Insurance Benefits / Tax / Appeals Requirements Development*	✓	✓			✓				✓	
Illinois Department of Healthcare and Family Services Integrated Eligibility System (IES) Planning and Project Management Office*		✓	✓	✓	✓	✓	✓		✓	
WyCAN Consortium (Wyoming, Colorado, Arizona, North Dakota) Unemployment Insurance Implementation IV&V and Quality Assurance Services*	✓	✓	✓	✓			✓	✓		✓
Job Service of North Dakota (JSND) Unemployment Insurance Modernization Study*	✓	✓			✓				✓	

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	Unemployment Insurance	Project Management	IT System Conversions	Data Migration	Requirements Development / Management	Solicitation Support	Software Development Life Cycle (SDLC)	COTS Implementation	Gap Analysis	IV&V Services
Tennessee Department of Labor and Workforce Development Southeast Consortium Multi-State (Tennessee, Georgia, North Carolina, South Carolina) Unemployment Insurance Benefits System Modernization Feasibility Study*	✓	✓			✓				✓	
Kentucky Department of Workforce Investment Unemployment Compensation Business Process Analysis and Project Management Office Project*	✓	✓	✓	✓	✓		✓	✓	✓	
Iowa Department of Human Services Project Oversight, Management, and Integration (POMI) Services for Iowa's Eligibility Integrated Application Solution (ELIAS)*		✓	✓	✓			✓		✓	
Iowa Medicaid Enterprise (IME) HIPAA 5010, NCPDP & ICD-10 Code Sets Initiative Strategic Planning, Technical Assistance, and Test Planning/Quality Assurance		✓		✓	✓		✓		✓	
Illinois Department of Employment Security Field Audit LAS3 Implementation (FALCON) Project	✓	✓	✓	✓	✓		✓		✓	
Illinois Department of Employment Security Illinois Benefit Information System (IBIS) Legacy Interfaces Project	✓	✓	✓	✓			✓			

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	Unemployment Insurance	Project Management	IT System Conversions	Data Migration	Requirements Development / Management	Solicitation Support	Software Development Life Cycle (SDLC)	COTS Implementation	Gap Analysis	IV&V Services
Ohio Department of Job and Family Services Medicaid Information Technology System IV&V Services Project		✓	✓	✓	✓		✓		✓	✓
Rhode Island Department of Administration Unified Health Infrastructure Project (Health Insurance Exchange and Integrated Eligibility) IV&V Services Project		✓	✓	✓	✓		✓		✓	✓
Oregon Department of Revenue Core System Replacement Quality Assurance Project		✓	✓	✓			✓			✓
Texas Health and Human Services Commission Texas Medicaid Management Information System Project Management Services		✓			✓	✓	✓		✓	
Northern Arizona Regional Behavioral Health Authority (NARBHA) Technical Assistance, Gap Analysis, and Procurement Planning and Support Services		✓			✓	✓	✓		✓	
Department of Vermont Health Access MITA State Self-Assessment and RFP Development		✓			✓	✓			✓	
Illinois Department of Human Services Illinois Healthcare and Human Services Delivery Framework Planning and PMO Project		✓			✓				✓	

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Project Descriptions

[redacted]

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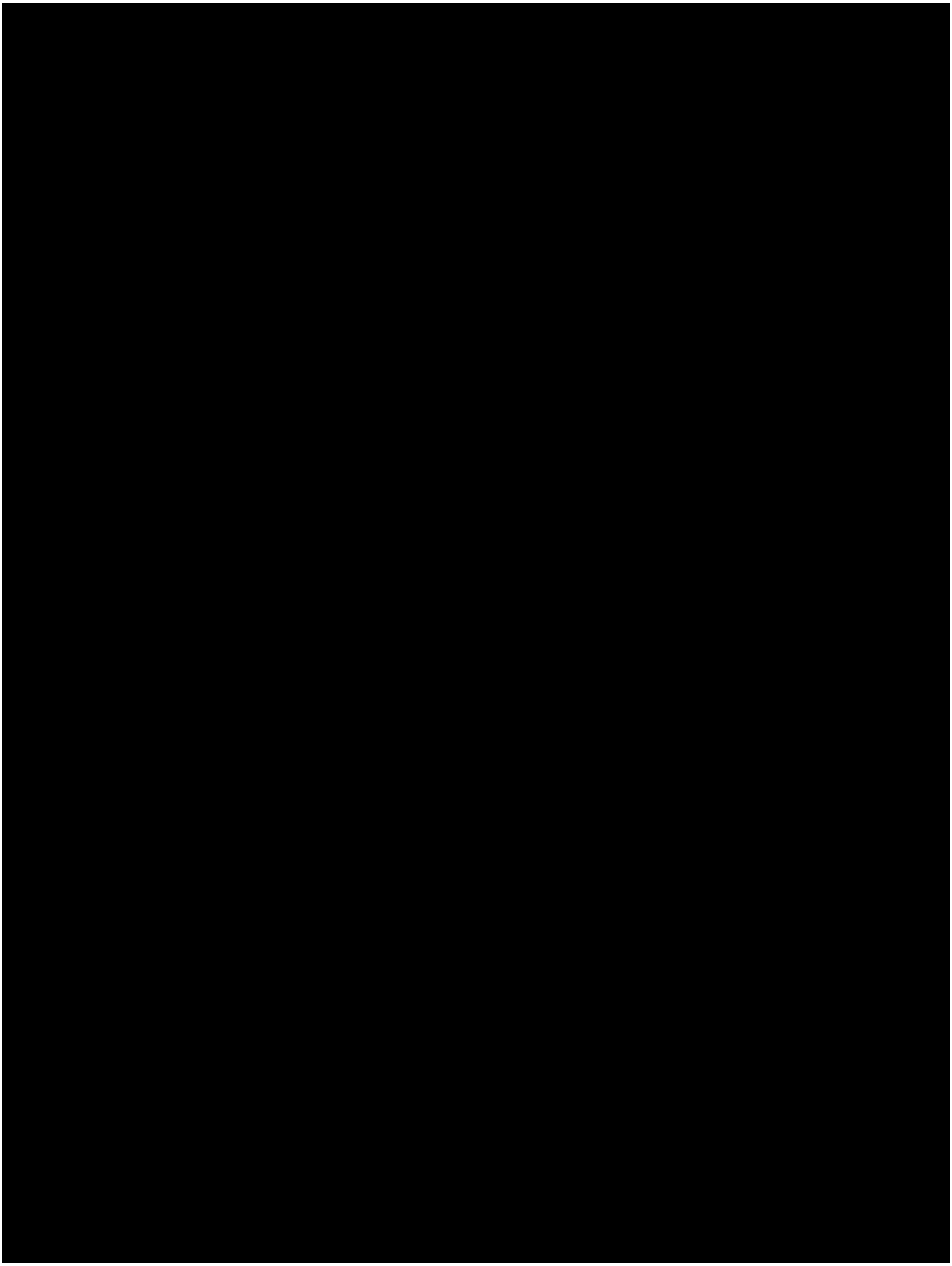

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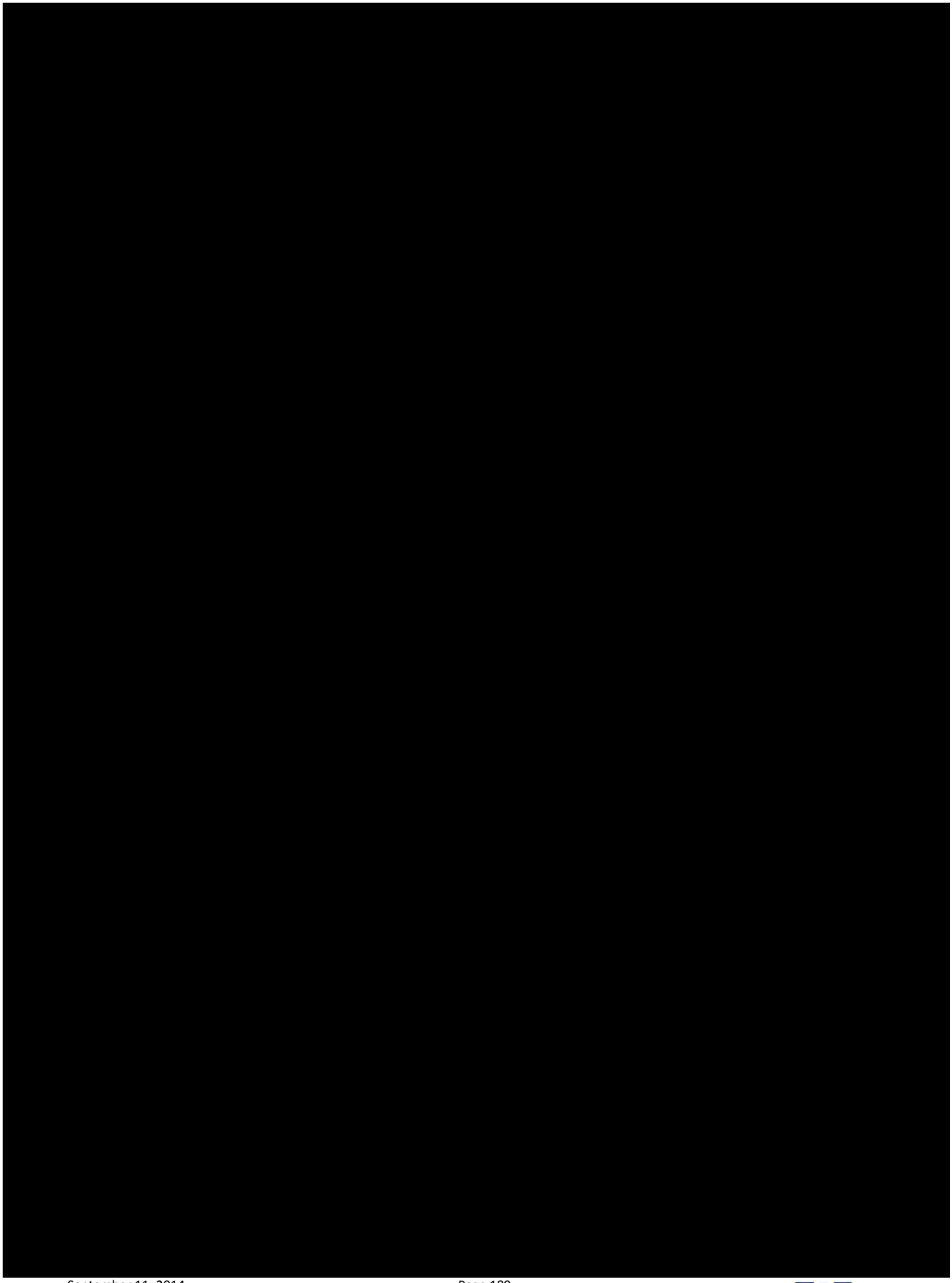

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4.1.2 Relevant Personnel Experience

The following matrix highlights our project team's expertise relevant to the scope of work. Additional details regarding our team's experience and qualifications can be found in *Section 5, Personnel*.

	Unemployment Insurance	Project Management	IT System Conversions	Data Migration	Requirements Development/ Management	Solicitation Support	Software Development Life Cycle (SDLC)	COTS Implementation	Gap Analysis	IV&V Services
Project Manager Saralinda Bauer	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Project Scheduler Varun Anand		✓			✓		✓		✓	
Business Architect/Policy Writer Fairy Curtis	✓		✓	✓	✓	✓	✓	✓	✓	✓
Business Analyst Neetha Karkala	✓		✓	✓	✓	✓	✓		✓	✓
Business Analyst Kristie Gardner	✓				✓		✓	✓	✓	
Technical Writer Gayle Kohr			✓		✓					
Technical Writer Nisarg Gopinath Upadhyay							✓		✓	
Technical Writer Rajshree Koirala		✓			✓		✓		✓	
Solutions Architect* Narendra Yadav				✓	✓		✓			
Data Architect Vijay Pandey	✓	✓	✓	✓	✓	✓	✓		✓	
Senior Technical Architect* Korol Taylor	✓		✓	✓	✓	✓	✓	✓	✓	✓

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	Unemployment Insurance	Project Management	IT System Conversions	Data Migration	Requirements Development/ Management	Solicitation Support	Software Development Life Cycle (SDLC)	COTS Implementation	Gap Analysis	IV&V Services
Quality Assurance Manager Bill Vacha		✓			✓		✓		✓	✓
Quality Assurance Architect Troy Rutten	✓	✓			✓	✓	✓		✓	✓
Testing Technician /Usability Testing Specialist Vennela Padi					✓		✓			✓
Usability Testing Specialist Ramya Senthilkumar					✓		✓		✓	✓
Technical Analyst Mark Daflucas	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓

**CSG has consolidated some of the roles detailed in the RFQ. Please see Section 5.1, Key Personnel for a Roles Matrix detailing these role consolidations.*

Industry-Recognized Quality Standard Compliance

CSG's staff is continually trained on standards to enhance their expertise and provide the services needed to Pennsylvania. CSG brings a thorough understanding and extensive knowledge of Project Management and UI programs, as well as a breadth of experience in technology services needed on large scale implementation efforts. The CSG team utilizes industry standards to perform its work. Those include:

Project Management Institute

Saralinda Bauer

Project Management Professional

- **Project Management Institute (PMI)** – CSG leverages the PMI Project Management Body of Knowledge (PMBOK®) Guide for project management best practices in all project activities. Most CSG Project Directors and Managers hold a current Project Management Professional (PMP)® certification from the PMI. Additionally,

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the ***TeamCSG℠ Project Tracker, Risk Assessment Model, and Risk Assessment Tracking tools*** were developed to identify and assess the level of risk within a project's processes and products, and incorporates PMBOK® standards within the risk assessment items.

- **International Organization for Standardization (ISO)** – Our methodologies conform to appropriate ISO standards, including ISO/IEC Standard 12207. Additionally, many CSG employees have extensive project experience with the ISO 9001 standard and system certification process.
- **Institute of Electrical and Electronics Engineers (IEEE)** – CSG's methodology conforms to appropriate IEEE standards such as IEEE STD 1012, IEEE STD 1074, and IEEE/EIA Standard 12207, as well as the entire family of IEEE software engineering standards.
- CSG project teams regularly provide expertise on security, privacy, and accessibility issues. Our consultants include subject matter experts in data security, information technology, policy, and access controls, standards compliance, HIPAA, change management, business continuity, and risk reviews. CSG utilizes our experienced consultants, most holding current security professional certifications to complete system security assessments. These certifications include:
  - ✓ **International Information Systems Security Certification Consortium (ISC)^2** – Certified Information System Security Professional (CISSP)
  - ✓ **Global Information Assurance Certification (GIAC)** – GIAC Security Essentials Certification (GSEC)
- Our technical consultants have certifications in mainstream technologies from **Microsoft, IBM, Cisco, Sun, and others**.
- CSG employees bring vast experience in system and user acceptance testing in multiple technical environments. We draw from these experiences and industry best practices to ensure that project testing is executed in the most efficient and effective manner with the goal of ensuring thorough testing of each implementation and/or change. CSG employees hold current Certified Software Tester certifications from the **International Institute for Software Testing (IIST)**.

We have well qualified, experienced staff in the UI, Project Management, and supporting technology implementation and modernization to address the needs for the UC Benefits Modernization Project Management and IV&V Services project.

Section 5, Personnel, on the following pages provides additional information on the roles, responsibilities, organization, experience, and qualifications of the project team members listed in the matrix above.

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5. PERSONNEL

We understand that the foundation for success in every project is the people involved in the project, and have carefully considered your requirements to determine which of our resources best suit your goals. We are confident our CSG team has what it takes – experience, expertise, and a disciplined approach – to deliver excellent results for Pennsylvania.

The CSG team consists of seasoned, proven professionals that are knowledgeable and experienced in state government information technology, assessing complex systems, and developing system requirements and solicitation related materials. Our resources have significant strategic planning, procurement support, and business and technical analysis experience.

The following pages provide our project organization structure, specific roles and responsibilities of our team members, detailed descriptions of our team members' experience and qualifications, and team member resumes.

CSG delivers a fully staffed project team providing L&I with extensive information technology, strategic planning, IV&V, and procurement support experience.

- CSG understands the staffing levels required to provide successful Project Management Services for the L&I UC Modernization
- We have assembled a team of experienced professionals with deep knowledge of UC Benefits, System Modernization, and IV&V best practices.
- Our personnel have significant business and technical assessment experience, superb analytical capabilities, and extensive state government knowledge and expertise.
- The CSG team is uniquely positioned to deliver excellent results for the Commonwealth of Pennsylvania

5.1 Staffing Approach

The CSG PMO staffing approach is based on **"having the right resources involved at the right time."** The CSG Team is comprised of a "Core PMO team" who are engaged full time throughout the entire modernization effort. The "Core PMO team" is comprised of the following full-time staff: the project manager, the project scheduler, the business architect/policy writer and the Senior Technical Architect. The Core PMO team is supplemented by a part time Technical Advisor further strengthening the abilities of the CSG PMO during crucial times in the project. During the requirements gathering activities, two Business Analysts and Technical Writers join the PMO and lead the JAR sessions and document the requirements. A technical writer is utilized to support creation of the Solicitation and a Data Architect/ ETL Specialist participates in data identification, mapping, extraction, and purification activities once the implementation Vendor is onboard through system test (1 year). The Optional Implementation Oversight Team is comprised of a full time Quality Assurance Manager and Quality Assurance Architect and part-time Testing Technician, Usability Testing Specialist, Technical Analyst to support the RFQ roles defined below.

Roles Matrix

The following table provides a Roles Matrix that maps the RFQ defined roles to the roles of the CSG team members.

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Resource	CSG Defined Position	RFQ Defined Role
Core PMO Team		
Saralinda Bauer	Project Manager	Project Manager
Varun Anand	Project Scheduler	Project Scheduler
Fairy Curtis	Business Architect/ Policy Writer	Business Architect/ Policy Writer
Korol Taylor	Senior Technical Architect	Infrastructure Architect Integration/Configuration Specialist Source Code Auditor
Requirements Team		
Neetha Karkala	Business Analyst	Business Analyst
Kristie Gardner	Business Analyst	Business Analyst
Nisarg Gopinath Upadhyay	Technical Writer	Technical Writer
Rajshree Koirala	Technical Writer	Technical Writer
Technical Support Team		
Gayle Kohr	Technical Writer	Technical Writer
Narendra Yadav	Solutions Architect	Solutions Architect Data Architect ETL Specialist
Optional Implementation Oversight Team		
Bill Vacha	Quality Assurance Manager	Quality Assurance Manager
Troy Rutten	Quality Assurance Architect	Quality Assurance Architect
Vennela Padi	Testing Technician	Testing Technician Usability Testing Specialist
Ramya Senthilkumar	Usability Testing Specialist	Usability Testing Specialist

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Resource	CSG Defined Position	RFQ Defined Role
Mark Daflucas	Technical Analyst	Infrastructure Architect Integration/Configuration Specialist Source Code Auditor Testing Technician Usability Testing Specialist
Project Advisory Team		
Jim Mahony	Client Executive	N/A
Richard Staten	Project Advisor	N/A
Tim Saar	Project Advisor	N/A
Vijay Pandey	Technical Advisor	N/A

The following pages provide our project organization chart, detailed roles and responsibilities for our team, key personnel biographies and resumes, and information regarding our subcontractors.

5.1.1 Project Organization Chart

The organization chart below provides a graphical representation of the hierarchical reporting relationships that CSG has developed for this project. This plan serves as a starting point, and we work closely with L&I to customize and finalize organization early in the project.

We developed our project organizational chart using the following guiding principles:

- Define clear roles and responsibilities for our team
- Leverage national UC, Project Management, and IV&V experience and deep technology expertise
- Provide clear lines of reporting and authority for decision-making
- Create an effective project team oversight structure

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5.1.2 Roles and Responsibilities

Resource	Role and Responsibilities
Project Team	
Project Manager Saralinda Bauer	➢ 6 years of experience as project manager (2 years in current position) ➢ Oversees day-to-day activities of the project, provides guidance and direction to staff in the execution of project activities, and completes quality assurance reviews of project deliverables prior to submission for approval. ➢ Serves as a single point of contact for L&I; has the authority to revise processes and adjust resource utilization as necessary to ensure the CSG team is producing all required deliverables. ➢ Develops and maintains project plan and schedule, attends L&I meetings, provides project status reports, and manages issues, risks, and the CSG team. ➢ Leads visioning workshop, develops and facilitates training sessions, and assists our team developing training matrices, schedules, and materials. ➢ Ultimately responsible for all CSG deliverables, our project manager coordinates all assessment activities and ensures the CSG team meets client expectations for quality and excellence.
Project Scheduler Varun Anand	➢ 7 years of experience as project manager/scheduler (5 months in current position) ➢ Leads the development and maintenance of the project schedule for the modernization effort ➢ Assesses project cost and creates efficiencies within project processes. ➢ Communicates progress with the project manager and stakeholders, identifying changes to the schedule.
Business Architect/Policy Writer Fairy Curtis	➢ Over 10 years of experience as a Business Analyst (2.5 years in current position) ➢ Leads efforts to shape and foster continuous improvement and business transformation for the modernization project. ➢ Leads and manages the review of the current UC systems and manages processes to define options for a replacement benefits system. ➢ Facilitates stakeholder and user requirements gathering sessions, eliciting and documenting requirements for the replacement benefits system. ➢ Validates requirements for compliance to industry and L&I standards and evaluates options for the best fit for Pennsylvania. ➢ Makes recommendations to L&I on the options for UC benefits replacement strategies. ➢ Develops a business process roadmap ➢ Performs all tasks related to review, development and maintenance of policy and procedure documentation.

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Resource	Role and Responsibilities
Senior Technical Architect Korol Taylor	➢ Over 20 years of experience as a Senior Technical Architect (15 years in current position) ➢ Evaluates current infrastructure and researches architecture for future options, documenting the changes and costs associated with each. ➢ Develops the technical roadmap for the modernization. ➢ Collaborates with other technical and L&I stakeholders and makes recommendations for software and hardware, considering performance, efficiency, cost and compliance with regulations. ➢ Provides input to requirements for the modernization vendor solicitation documentation. ➢ Evaluates and documents current system configuration and interfaces ➢ Defines and documents requirements for system modernization. ➢ Develops an integration plan to incorporate necessary interfaces with the new system. ➢ Makes recommendations for optimal configuration. ➢ Evaluates the source code for modularization and usability. ➢ Makes recommendations regarding security and authorization. ➢ Communicates issues identified with the Business analyst and L&I stakeholders
Business Analyst Neetha Karkala	➢ 8 years of experience as a Business Analyst (2 years in current position) ➢ Analyzes and defines the current system business. ➢ Leads meetings to define, document, categorize and prioritize requirements. ➢ Prepares requirements for inclusion on the solicitation documents. ➢ Contributes to the development of the business process roadmap. ➢ Documents risks and communicates them with stakeholders.
Business Analyst Kristie Gardner	➢ 12 years of experience as a Business Analyst (8 months in current position) ➢ Analyzes and defines the current system business. ➢ Leads meetings to define, document, categorize and prioritize requirements. ➢ Prepares requirements for inclusion on the solicitation documents. ➢ Contributes to the development of the business process roadmap. ➢ Documents risks and communicates them with stakeholders.
Technical Writer *Nisarg Gopinath Upadhyay*	➢ 7 years of experience as a Technical Writer (7 years in current position) ➢ Supports requirements gathering activities ➢ Assists in facilitating JAR sessions and project meetings ➢ Creates and distributes notes for all JAR sessions ➢ Assists in creation of deliverables

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Resource	Role and Responsibilities
Technical Writer *Rajshree Koirala*	➢ 10 years of experience as a Technical Writer (5 months in current position) ➢ Supports requirements gathering activities ➢ Assists in facilitating JAR sessions and project meetings ➢ Creates and distributes notes for all JAR sessions ➢ Assists in creation of deliverables
Technical Writer Gayle Kohr	➢ Over 10 years of experience (New hire with Logic House) ➢ Assists with development of the statement of work for inclusion in the solicitation documents. ➢ Formats the requirements and contributes to the modernization vendor solicitation document. ➢ Documents decisions and requirements from design meetings.
Solutions Architect Narendra Yadav	➢ 12 years of experience as a Solutions Architect (6 years in current position) ➢ Oversees the large, complex database, and evaluates impacts to the data. ➢ Evaluates and develops logical and physical data models. ➢ Makes recommendations for performance tuning and efficiencies. ➢ Provides input to requirements for the modernization vendor solicitation documentation. ➢ Evaluates current data architecture and architecture for proposed solution. ➢ Performs data analysis and modeling as needed. ➢ Develops plans for data migration. ➢ Creates data maps for modernization and troubleshoots the process. ➢ Identifies areas of risk and develops mitigation strategies. ➢ Contributes to development of test and migration plans. ➢ Develops data load plans and processes for testing. ➢ Queries the data for pertinent information and reports.
Quality Assurance Manager Bill Vacha	➢ Over 7 years of experience as a Quality Assurance Manager (3 months in current position) ➢ Oversees and manages the CSG IV&V team efforts for evaluation of all appropriate deliverables. ➢ Develops status reports and communicates with stakeholders regarding the status of IV&V efforts. ➢ Verifies that the implementation vendor is meeting the expectations of their contract. ➢ Monitors and manages defect tracking log and leads meetings to review with testers and stakeholders.
Quality Assurance Architect Troy Rutten	➢ Over 15 years of experience as a Quality Assurance Architect (1 year in current position) ➢ Validates implementation vendor deliverables and processes. ➢ Monitor's the implementation vendor's adherence to all requirements and Service Level Agreements.

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Resource	Role and Responsibilities
Testing Technician/Usability Testing Specialist Vennela Padi	➢ 8 years of experience as a Testing Technician and Usability Testing Specialist (3 years in current position) ➢ Develops test plans and use cases for testing phases. ➢ Develops test cases and validates test outcomes. ➢ Monitors and manages testing and defect logs. ➢ Validates system interfaces and integration with other systems.
Usability Testing Specialist Ramya Senthilkumar	➢ 9 years of experience as an Usability Testing Specialist (3 years in current position) ➢ Collaborates with test teams to develop test plans and use cases. ➢ Develops test cases and validates test outcomes. ➢ Assists with monitoring the defect log. ➢ Performs testing as needed.
Technical Analyst Mark Daflucas	➢ 30 years of experience as a Technical Analyst (21 years in current position) ➢ Performs ongoing assessments of the technical aspects of the implementation project, including: the operating environment, data management, the development environment, software architecture, code and testing and product configuration. ➢ Communicates findings with IV&V team and L&I stakeholders. ➢ Provides mitigation strategies for technical defects. ➢ Contributes to the final recommendation report.
Project Advisory Team	
Client Executive Jim Mahony	➢ 12 years of Unemployment Compensation experience (10 years in current position) ➢ Serves as liaison between CSG and L&I for any contractual matters to ensure that our assessments and services are running smoothly and that we are meeting all expectations. ➢ Provides UC Expertise and advisory services to our team throughout the project life cycle. ➢ Focuses on assisting our team with the various project activities and provides quality assurance on all project deliverables and work products
Project Advisor Richard Staten	➢ Over 15 years of experience as a Project Advisor (3 years in current position) ➢ Provides executive-level oversight, contributing on UC subject matter expertise and project management best practices. ➢ Serves as CSG's PMO Center of Excellence Lead

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Resource	Role and Responsibilities
Project Advisor Tim Saar	➢ 30 years of experience as a Project Advisor (15 years in current position) ➢ Provides executive-level oversight, contributing on subject matter expertise and project management best practices. ➢ Serves as CSG's IV&V/QA Center of Excellence Lead and Vice President of Technology and provides IV&V and technical expertise to the project team on an as needed basis.
Technical Advisor *Vijay Pandey*	➢ 16 years of experience as a Technical Advisor (10 months in current position) ➢ Provides ongoing technical architecture support and data migration strategies ➢ Participates in technical architecture reviews ➢ Provides subject matter expertise for solicitation development and vendor selection

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5.1.3 CSG Team Biographies

Project Team

Saralinda Bauer – Project Manager: Saralinda is a Project Management Institute-certified project management professional (PMP), who has been with CSG for 2 years. She has worked in the unemployment insurance and workforce development industry for more than 14 years. She has extensive experience as a Project Manager and Business Analyst, focusing on the support of unemployment insurance (UI) initiatives, Medicaid Eligibility, and brings a proven ability to analyze complex systems and understand user needs. Saralinda has more than 16 years of experience in public sector programs and more than 11 years facilitating large- and small-scale system implementations. She has more than six years of experience in project management roles. **Most recently, Saralinda served as the Project Manager for the Missouri Eligibility Determination and Enrollment System (MEDES).** This is a multi-phase project to replace the state's legacy eligibility and enrollment systems to include Medicaid, supplemental nutrition assistance program, temporary assistance, child care assistance, and low income home Energy assistance programs. Prior to her work at MEDES, Saralinda served as the Deputy Project Manager to the Missouri Local Government Employee Retirement System (LAGERS) and Ensuring Complete LAGERS Integrated Pension System Excellence (ECLIPSE) projects were she oversaw the multi-phase local government pension system upgrade from outdated legacy systems to a .NET Neopsin Pension framework. Saralinda is an excellent communicator and manager with expertise in integrative system implementation and oversight, full life cycle project management, and unemployment initiatives.

Varun Anand – Project Scheduler: Varun is a PMI-certified Project Management Professional (PMP) with over 7 years of experience as a project manager in industry domains, including Insurance, Mortgage, Education, Telecom, and Infrastructure. He provides a solid balance between project leader, subject matter expert, and technical resource with a reputation as a self-starting manager in all aspects of the project process, including requirements development, resource allocation, workflow planning, and cost control. Varun brings over 2.5 years of experience with Microsoft Project, creating, maintain, and reporting on large scale plans, progress against plans, and risk management. Varun is an expert in both Waterfall and Agile project management methodologies and is able to manage large project teams. Varun is known for high quality deliverables that meet or exceed timeline and budgetary targets. He has experience through all phases of the Software Development Life Cycle (SDLC), including analysis, development, testing, and implementation. He also brings experience in performing gap analyses and conducting JAD sessions, as well as developing business strategies, planning and managing multi-million dollar projects aligning business goals with technology solutions to drive process improvements, competitive advantage, and bottom-line gains. Varun is an excellent communicator able to leverage technical, business, and financial acumen to communicate effectively with client executives and their respective teams.

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Fairy Curtis – Business Architect/Policy Writer: Fairy Curtis is a Senior Consultant with CSG and has worked in the Unemployment Insurance program since 1999. She functions as a Business Analyst and Unemployment Insurance Subject Matter Expert. She brings five years of experience working for the GDOL Unemployment Insurance Policy and Procedures Unit, where she facilitated the design and development of UI programs and provided oversight and technical expertise for state agency initiatives, including the Southeastern Consortium Unemployment Benefits Integration Project. Fairy recently served as IV&V Business Analyst for the WyCAN (Wyoming, Colorado, Arizona, New Mexico) Unemployment Insurance Consortium project to implement a shared UI system. In this capacity, Fairy created Deliverable Expectation Documents, facilitated interviews of project staff and observed project processes, including gap sessions an dreviews of project artifacts and documentation on requirements and use cases, and provided subject matter expertise regarding UI and project processes in support of Foundational and Focus Area Assessments. Additionally, Fairy is an effective communicator and a proven project leader with exemplary skills in management, customer service, collaboration, accounting and technical support which she brings to every engagement.

Neetha Karkala – Business Analyst: Neetha functions as a Senior Business Analyst in CSG's Unemployment Insurance and Workforce practice, and has worked in the information systems industry as a Business Analyst since 2007. Neetha possesses excellent knowledge of business analysis methodologies, and specializes in analyzing and optimizing business processes. She is skilled at creating detailed use cases, conducting gap analysis, and performing in other analytic capacities. Neetha served as Business Analyst/Technical Writer for the VMW (Vermont, Maryland, West Virginia) Consortium UI and Tax Requirements Development Project. IN this capacity Neetha created and maintained the master spreadsheet for all the high-level functional requirements and assisted in creating baseline requirements documents for the research and analysis phase. She also assisted in developing the requirements management plan and developed the Requirements Configuration plan, detailing how to configure the tool, as well as reviewed use cases and prepared them for JAR sessions. Neetha has also worked for the United States Department of Labor performing requirements analysis, and has analysis experience in both the public and private sectors. Neetha brings her excellent communication skills to every engagement.

Kristie Gardner – Business Analyst: Kristie Gardner is a business analyst focused on unemployment compensation initiatives, and has worked in the Unemployment Compensation field since 2005. She brings extensive experience analyzing policies and procedures, resolving system issues, and providing training on system processes and operational procedures. Kristie recently served as IV&V Business Analyst for the WyCAN Consortium Unemployment Insurance Implementation IV&V and Quality Assurance Services Project, for which she performed interviews of project staff, analyzed project and vendor business-related documentation, processes, work products, and artifacts, including requirements documents, use cases, storyboards, and test cases to ensure early identification of risks and issues related

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to JAR session processes. Prior to joining CSG, Kristie held positions of increasing responsibility at the State of Michigan Unemployment Insurance Agency (UIA), including UI Tax System Support Analyst and UI Analyst. In this capacity, Kristie served as the Team Lead for the Michigan UIA's Unemployment Insurance System Modernization Project to implement a Commercial-Off-the-Shelf (COTS) product for the UIA web application. Kristie also has experience analyzing policies, procedures, and program needs to ensure system compliance based on UIA rules and regulations, developing and documenting business requirements, rules, and test cases for the Unemployment Insurance System Modernization Project.

Gayle Kohr – Technical Writer: Gayle is a veteran technical writer, who has over 13 years of experience developing project-related documentation and program curriculum. Gayle brings extensive experience in developing multi-faceted, multi-topic, adult educational materials, as well as writing, proof-reading, revising, and peer-reviewing project documentation. She has experience designing and developing instructional curriculum, including comprehensive instructor manuals and participant workbooks. She brings experience in facilitating development meetings and pilot tests with instructors and subject matter experts and assisting with assessments and evaluation of writing of program delivery. She also has experience analyzing program data and making recommendations for quality improvement and delivery based on evolving needs. Gayle recently served as Technical Writer for the Tyco Electronics Enterprise Contract System Project, for which she created all instructor and end-user training materials needed for the global implementation of customized contract management software for Tyco's Global Legal Department. She collaborated with software experts and end-users to document legal/procurement processes and system functionality, performed intricate system testing, documented system performance issues/defects and negotiated resolutions with the software provider. Gayle also provided support with system administration, functional assessment, and troubleshooting. Gayle was an active member of the Executive Steering Committee and Global Implementation Teams.

Nisarg Gopinath Upadhyay – Technical Writer: Nisarg is a seasoned quality assurance analyst/business analyst with over 7 years of comprehensive experience in the information technology field covering areas including system verification and validation, object oriented analysis and design, and business process design. Nisarg brings extensive experience in authoring business requirements documents (BRDs), System Requirement Specifications (SRS) and identifying interfaces and business process specifications, as well as experience in the development, implementation, and integration strategies towards a team oriented environment. Nisarg has strong experience in working within all phases of the SDLC throughout the project life cycle in Waterfall, RUP, and Agile (SCRUM) environments and has strong knowledge of quality assurance methodology relative to SDLC. Nisarg is experienced at creating use case diagrams, business process models, work flow diagrams, process flows, and data flow diagrams, as well as documenting ""As-Is"" and ""To-Be"" business processes. Nisarg also brings experience conducting gap analyses, risk analyses, data analyses, and cost-benefit analyses, and has knowledge of Commercial-Off-the-Shelf (COTS) and data warehousing concepts. Nisarg recently served as Business Analyst for Ameriprise Financial, working on multiple projects for the client facing side of Ameriprise.com. For these projects, Nisarg

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gathered business requirements, created requirements documentation, worked with technical leads and other technical cross-functional teams in preparing and documenting system requirements. Nisarg also created use cases, use case diagrams, and process flow diagrams, and created and executed test cases and test scripts. In addition, Nisarg served as a liaison between the project teams, subject matter experts, and test and development teams. Nisarg brings his excellent interpersonal, customer relations, and written and verbal communication skills to every engagement.

Rajshree Koirala – Technical Writer: Rajshree is a business process analyst/business analyst with over 7 years of experience in the information technology field. Rajshree is highly experience in business process re-engineering procedures, business requirement elicitation, documentation, and project management and change management. He has vast experience serving as a liaison with development teams and translating business requirements into technical specifications. Rajshree has proven knowledge of Waterfall and Scrum/Agile software development processes, and has expertise in creating user interface (UI) mockups, wireframes, use case models, and creating coherent user interfaces to realize business requirements. Rajshree also brings experience performing gap and risk analysis, cost benefit analysis, and financial analysis, as well as experience writing unit test plans, test cases, and integration test scenarios, and in developing, executing, and managing user acceptance testing (UAT). Rajshree recently served as Business Process Analyst for the Capitol One Advanced Commercial Banking System Transition Project, for which he created and managed processed documentation, including business requirements, use case documentation, and test plans, ensuring that all required process documentation was accurate, correctly detailed, maintained, and organized in the appropriate repository. He also designed, executed, and evaluated procedure plans to ensure source data were accurate and met defined standards. Rajshree also authored presentation to clients and staff, often requiring clear explanation of complex processes to a non-technical audience. Rajshree brings strong written and verbal communication skills to the L&I UC Benefits Modernization Project Management and IV&V Project.

Korol Taylor – Senior Technical Architect: Korol is a lead system architect, technical analyst, and team leader with 15 years of IT experience. He has designed and implemented web applications in .Net and J2EE for over ten years. He is certified in UML and object oriented design principles. He is experienced in all phases of the system development life cycle including scope development, functional requirements, detail design, development, system testing, acceptance testing, performance testing, and deployment. Korol's recent experience includes serving as Technical Architect for three multi-state consortium UI initiatives: the Wyoming, Colorado, Arizona, North Dakota, (WyCAN) Consortium Unemployment Insurance Implementation IV&V and Quality Assurance Services Project, the Vermont-Maryland-West Virginia (VMW) Consortium UI Requirements Development Project and the Southeast Consortium UI Benefits Initiative (SCUBI). For the VMW and SCUBI engagements, Korol led technical teams in the development of RFP-ready general and technical requirements and technical architecture for the common UI system, including cost benefit analysis, security strategy, and recommendations for management and governance structure for the shared

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systems. For the WyCAN engagement, Korol performed an independent security assessment, to ensure compliance with NIST 800-53 revision 4 security controls, performed an assessment to determine the benefits, risks, and implications for implementing a new imaging system prior to the completion of the WyCAN project, reviewed testing plans and provided observations and recommendations for the test plans, and also reviewed the risk register for the project and provided observations and recommendations for the risk register. Korol also has UI experience working as the lead technical architect on North Dakota's UI Modernization Directional Study and as the lead technical architect for the Southeast Consortium Unemployment Benefits Initiative Feasibility Study and Requirements project.

Narendra Yadav – Solutions Architect/ETL Specialist: Narendra is a data warehousing consultant and senior developer and brings over 12 years of information technology experience encompassing a wide range of roles, responsibilities, and industry verticals, including over 8 years of experience working on data warehouse environments. Narendra is accomplished in data warehouse architecture and data modeling and design with extensive experience in data modeling, data warehousing, business and data analysis, and documenting business requirements, functional specifications, and technical design, including vast experience in Oracle 8i/9i, Oracle 10g/11g, DB2 8.x/9.x, and Teradata. In addition to his technical skills, Narendra possesses excellent project management skills and brings experience in all phases of the data management life cycle. Narendra also has experience in data extract, transform, and loading (ETL), building cubes, data mining, dimensional data modeling, and creating test scripts. Narendra recently served as Data Warehousing/Business Intelligence Consultant and Subject Matter Expert for the Prudential Insurance Information Management and Business Intelligence (IMBI) implementation. For this engagement Narendra provided solution architecture, analysis and modeling consulting, data management, data quality and governance, and business intelligence services in an Oracle 11g and DB2 Database Server environment. Narendra gathered and analyzed business requirements to identify and understand source data systems, perform data analysis and translated business needs into long-term information architecture solutions, and conducted data quality analysis to purge systems of old, unused, or duplicate data. Narendra also created the data warehouse data model to store atomic level and summarized data, troubleshot ETL load and extract problems and BI Environment problems, and tuned for performance. Narendra diagnosed and resolved application bottlenecks and performance issues and worked on defining and enforcing coding standards, design styles, and best practices.

Bill Vacha – Quality Assurance Manager: Bill is a project manager and business analyst and has worked in the information technology field since 1993. Bill brings 21 years of experience serving as a programmer, technical lead, test manager, project manager, and systems development consultant for state government MMIS enhancement projects for the states of Kansas West Virginia, Louisiana, Mississippi, North Carolina, Kentucky, Virginia, and the District of Columbia. Bill recently served as Test Manager and Systems Development Consultant for the Xerox Virginia MMIS Special Projects Team. In this role, Bill worked on a provider screening regulations project dedicated to the integrity of both system and business

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operations. For this initiative, Bill created and quality tested over 1,000 scenarios to ensure that all the project's business and software requirements were met and focused on tracking test metrics, trend analysis reporting, internal reviews, defect management, and continuous process improvements. Bill also assisted in completing requirements analysis, joint application design, test case development, system integration testing, quality assurance audit testing, user acceptance testing (UAT), and operational readiness testing. Bill is a PMI-certified project management professional (PMP), and brings his exceptional project management skills to each engagement.

Troy Rutten – Quality Assurance Architect: Troy is a project manager and subject matter expert focused on unemployment compensation initiatives, and has worked in information systems since 1991. She brings 10 years of experience leading technology teams in workforce and unemployment compensation solutions, as well as 10 years of experience gathering requirements, defining scope and objectives, and designing customer facing systems to meet future business needs. Troy's recent experience includes IV&V project management for the WyCAN consortium Unemployment Insurance and Tax software. She performs assessments of WyCAN project artifacts and provides observations and recommendations to leadership. Troy worked as part of the Oregon Employment Department (OED) for 10 years and served as Chief Information Officer/Applications Development Manager from 2008 – 2012, where she headed and managed OED's information technology division and supported production applications, including unemployment insurance, employment services central and field offices, and call center operations. Troy was responsible for the overall definition, design, development, and deployment of all major applications supporting OED's business processes and services, and defined development tools and approach, requirements, specifications, deliverables and implementation. Prior to working for the State of Oregon, Troy served as Project Manager, developing strategies and project plans to support large scale technology system upgrades, for which she also gathered, documented, reviewed, and analyzed business requirements to drive functional specifications and assist in the preparation of system requirement specifications. Troy is a PMI-certified project management professional (PMP).

Vennela Padi – Testing Technician and Usability Testing Specialist: Vennela is a senior tester and brings over eight (8) years of quality assurance testing experience for all stages of the Software Development Life Cycle (SDLC) in service-oriented architecture (SOA), Web-based, and Client/Server applications. Vennela has experience in numerous forms of testing, including usability testing, integration testing, system testing, functional testing, security testing, and user acceptance testing (UAT). Vennela has extensive experience in all phases of the SDLC, from requirements analysis to production validation testing (PVT) using Waterfall, RUP, and Agile models, as well as an excellent working knowledge of design and implementation of test plans, test scenarios, test cases, test strategies, test scripts, and test procedures. Vennela recently provided testing services for AT&T, executing testing for AT&T Synaptic Compute as a Service with VMware vCloud® Data Center Services. For this engagement, Vennela developed test cases, test strategies, and test plans based on functional specifications; executed test scripts to

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verify the expected results based on the system requirements; conducted system testing, regression testing, and UAT; and verified the database design. Vennela brings excellent written and verbal communication skills to every engagement.

Ramya Senthilkumar – Usability Testing Specialist: Ramya is a senior testing engineer, business analyst, and quality assurance analyst who possesses excellent business writing skills required for documenting business, functional, and non-functional requirements and use requirements specifications. She is well versed in all phases of the SDLC, including experience developing use cases and the development of test plans, test scenarios, test cases, and test scripts. Ramya has extensive experience in conducting numerous types of testing, including unit, integration, system, regression, functional, and User acceptance testing. Ramya also brings experience in designing and developing data models and data marts in support of business intelligence data warehouse. Ramya recently served as Senior Business Analyst for the North Carolina Department of Health and Human Services NC Tracks System Project, to implement a new multi-payer Medicaid Management Information System. For this endeavor, Ramya performed test planning and developed test cases for the Office of Medicaid Management Information System Services (OMMISS) based on business system requirements for the replacement of the MMIS. Ramya reviewed expected results with OMMISS as well as provided recommendations for quality improvement of test cases, monitored and reported on issues defects/bugs within UBAT/UAT testing environments, coordinated efforts of state employees to perform User Acceptance Testing, and reviewed vendor work to ensure it meets project requirements and expected quality.

Mark Daflucas – Technical Analyst: Mark serves as a technical lead/analyst and IT architect for enterprise, business, information, applications, and technology architectures, and has worked in information systems since 1983. He brings over 20 years of experience in information systems on SDLC and QA/IV&V projects for both state and federal organizations and private companies. Mark also brings extensive experience in Microsoft.NET technologies, as well as non-Microsoft technologies (Oracle, Apache, Coldfusion, and Java). Mark recently served as Project Manager and Architect/Technical Lead for the Illinois Department of Employment Security (IDES) FALCON Project, for which he managed a team of application developers through entire SDLC to deliver a distributed, asynchronous mobile application used to audit employer unemployment insurance contributions that synchronizes and integrates with back office and legacy mainframe applications. Mark ensured that PMBOK project management principles were adhered to and tracked, resolved, and escalated critical issues to minimize risk factors, as well as analyzed business requirements, defined solution architecture, researched new technologies, built design patterns and application framework, and developed high-level and detailed designs. Mark also developed best practices and coding standards, conducted code reviews, documented origin and usage of data fields and business rules associated with data fields, and converted legacy application and migrated legacy data. Mark is a Certified Information Systems Security Professional (CISSP®**).**

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Project Advisory Team

Jim Mahony – Client Executive: Jim is a Vice President with CSG and serves as the Client Executive for this critical project. He brings over 12 years of experience in Unemployment Compensation. Jim has also served as Client Executive on the Michigan UIA Unemployment Insurance System Modernization Project, the US Department of Labor Data Validation Technical Assistance and Training Program Project, Kentucky Office of Employment and Training UI Business Process Analysis project, and the Vermont Department of Labor UI Benefits / Tax / Appeals Requirements Development project. Jim is responsible for overseeing the project team and working with project sponsors and project managers. He is also responsible for quality assurance on all deliverables, providing best practices from Unemployment Compensation Modernization and PMO projects around the country.

Vijay Pandey – Technical Advisor: Vijay is the Director of Technology Solutions with Intueor Consulting, Inc. and brings over 16 years of experience in the information technology field with over 5 years of unemployment compensation experience holding numerous roles, including project lead, project manager, database designer, developer, analyst, and technical architect. **Vijay provides ongoing technical support to the Core team throughout the engagement.** Vijay is a PMI-certified project management professional (PMP) and holds numerous technology certifications, including Oracle Certified Professional (OCP) for 9i/8i Database Architecture tracks and The Open Group Architecture Framework (TOGAF) 9.1. Vijay has extensive experience in database design, data migration, requirements analysis, and testing, and brings the ability to lead technical teams, as well as work within a team-oriented environment. Vijay recently served as Technical Lead for the State of Mississippi Unemployment Insurance Modernization project, for which he provided migration and environment management services related to IBM Websphere Application Server, batch applications, and BizServer Applications for UI Benefits and Tax. Vijay also provided an IBM DB2 Universal Database upgrade and migrated data to the database, as well as set up a new IBM Guardium S-Gate configuration to work with the upgraded DB2 UDB.

Richard Staten – Project Advisor: Richard Staten is a goal-oriented and precise IT Portfolio Director, Practice Leader, and Project Manager with CSG. He has an established record of success built on high-tech business and operations experience in contract delivery of professional services. Richard brings over 19 years of experience in both the public and private sectors, having held positions as Operations Director and IT Director, and brings a mixed set of real-life functional skills and technical proficiencies. In management, he has guided complex, large-scale efforts in operations, programs, portfolios, and applications management, and regularly communicates with executives and C-Level management. He is currently the leader of the PMO for all State of Michigan Unemployment Insurance Agency and related projects. Richard also serves as CSG's PMO Center of Excellence lead, providing our PMO teams with nest practices from PMO projects across the nation.

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Tim Saar – Project Advisor: Tim is Vice President of Technology at CSG and serves as IV&V/QA Center of Excellence Lead, with over 30 years of experience in information systems, including vast unemployment compensation and workforce solutions experience. He has extensive experience in complex evaluations and assessments of technical software and hardware systems. During his 15 years with CSG, Tim has directly contributed to the success of over 35 information systems projects. Tim is a results-oriented individual with the proven ability to evaluate and implement processes for secure data collection and reporting, data archival, disaster recovery, fraud detection, and application scalability. He is experienced in advanced Microsoft, Oracle, and J2EE solutions and holds certifications in multiple technologies. He has extensive experience in complex evaluations and assessments of technical software and hardware systems, and plays key decision-making roles for important initiatives. He has provided technology assessments for the states of Georgia, Mississippi, North Dakota, Illinois, Michigan, Indiana, Kentucky, New Mexico, Arizona, and Ohio.

5.1.4 CSG Team Resumes

CSG provides resumes for all key personnel on the following pages.

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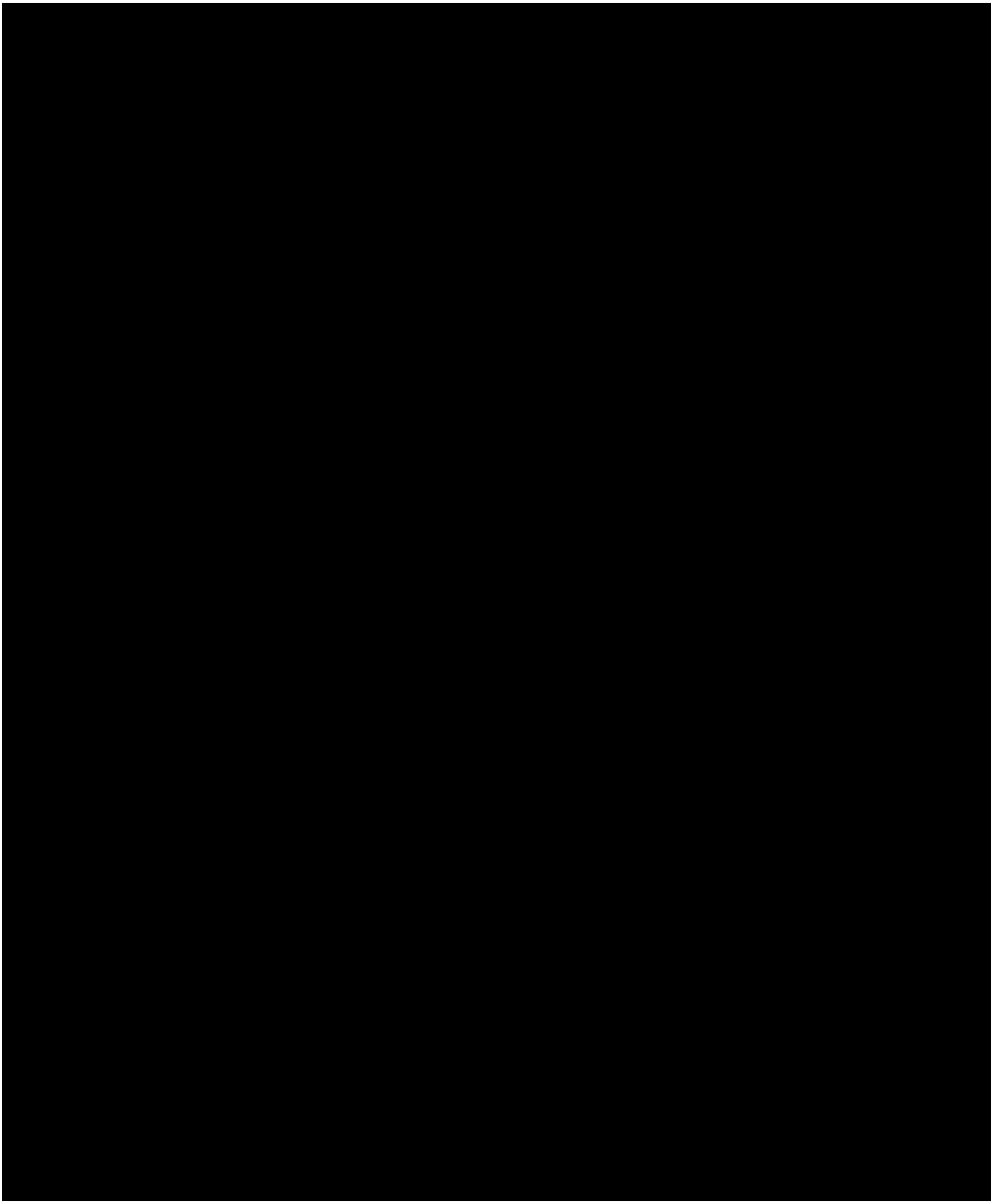

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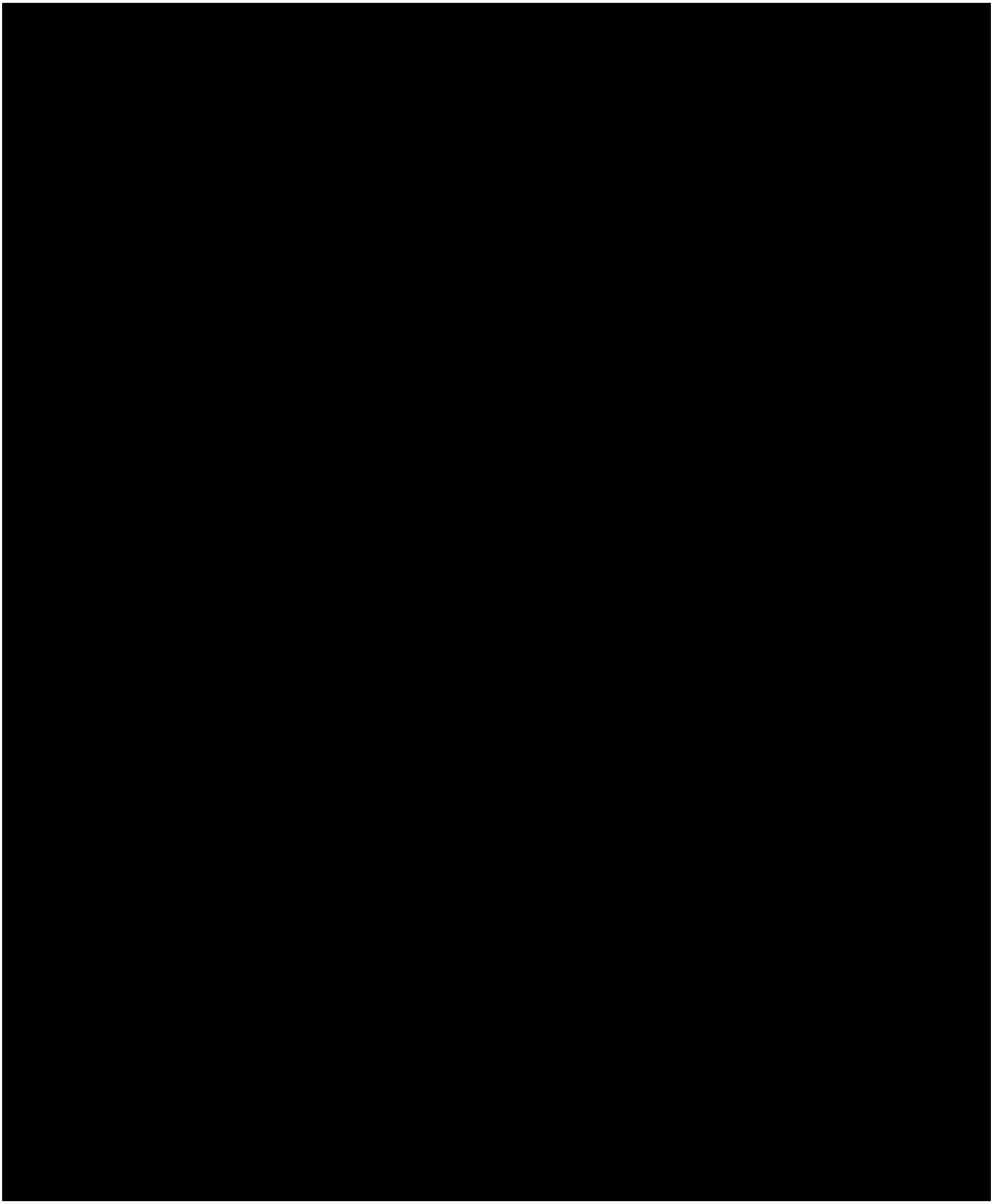

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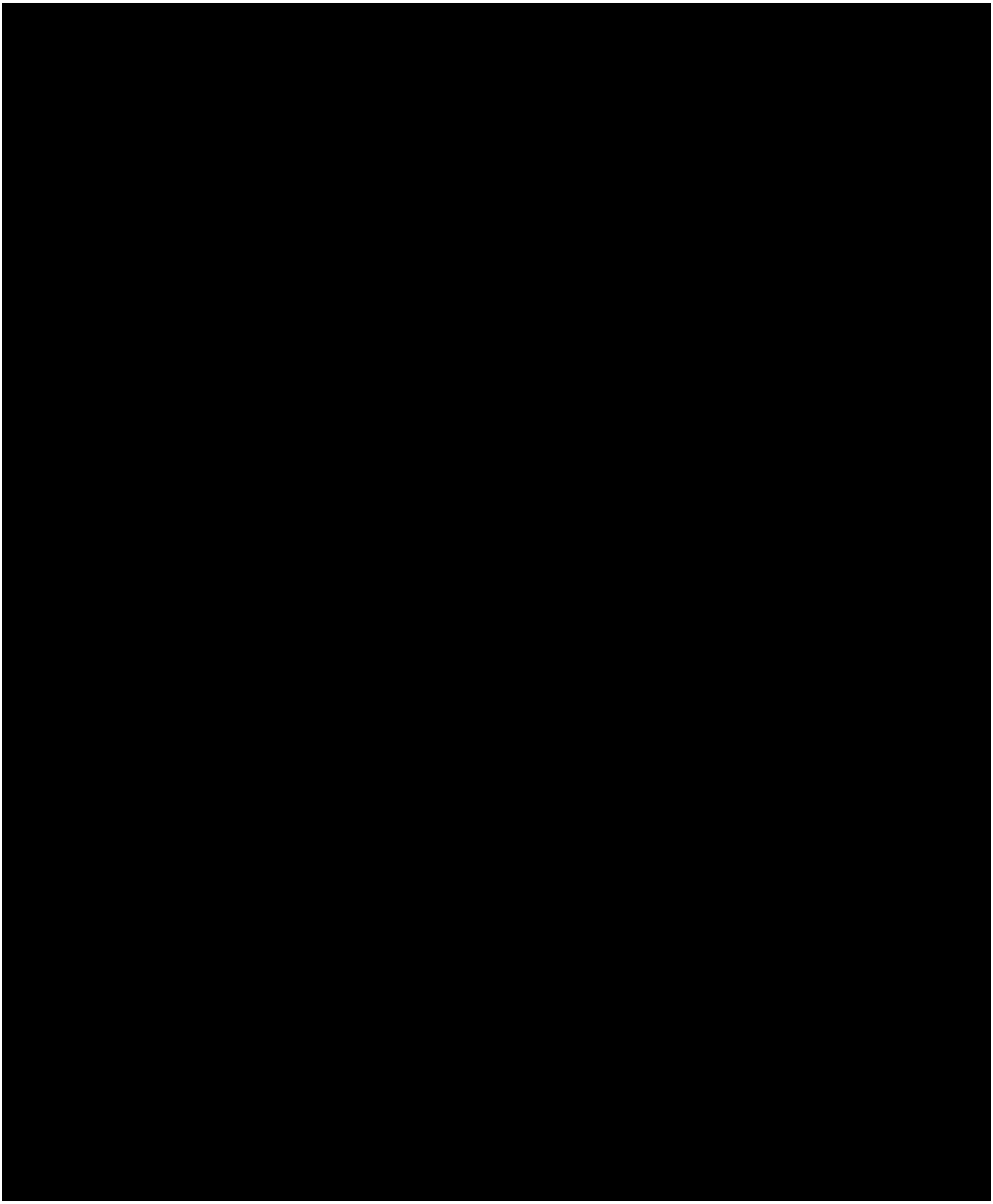

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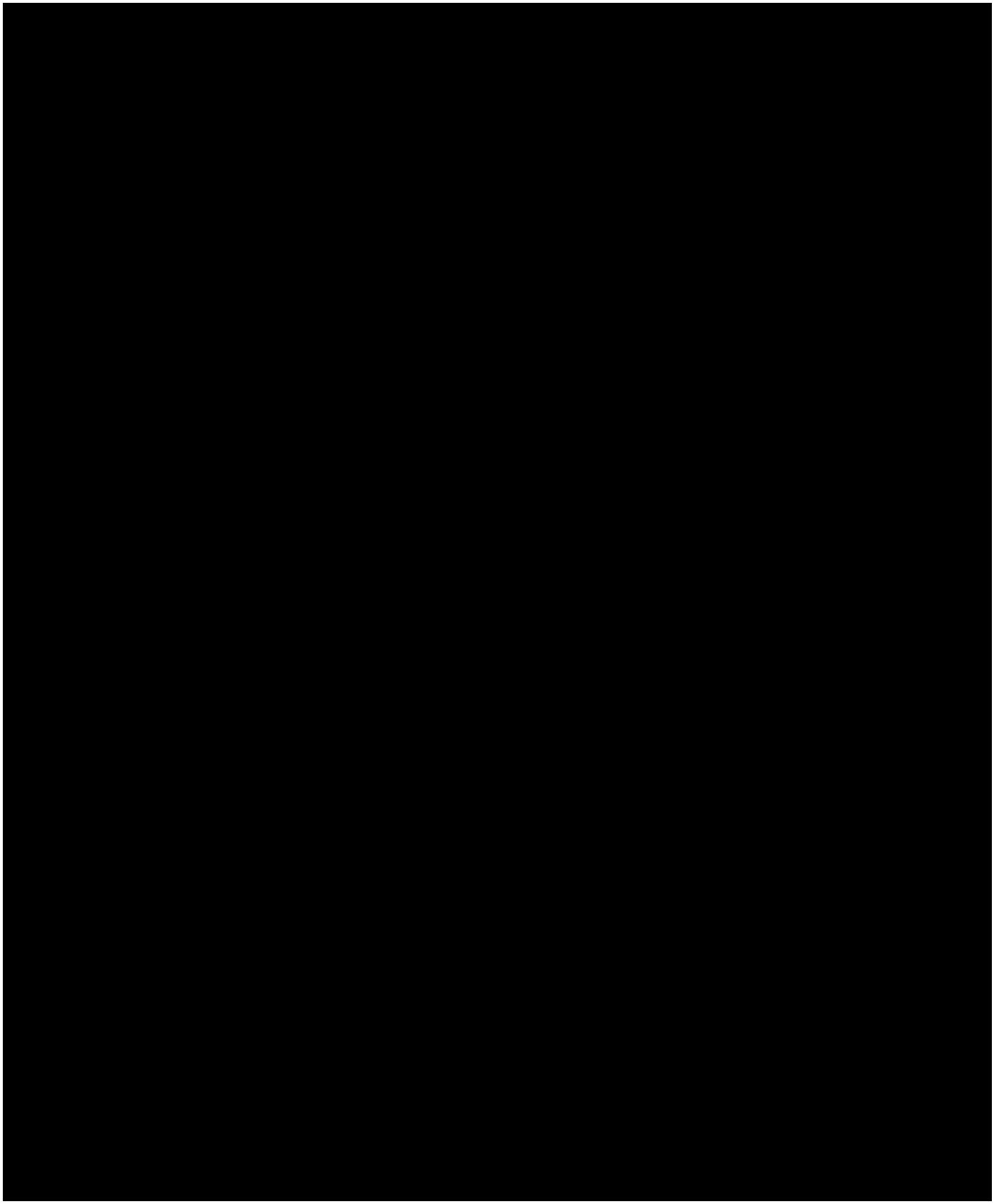

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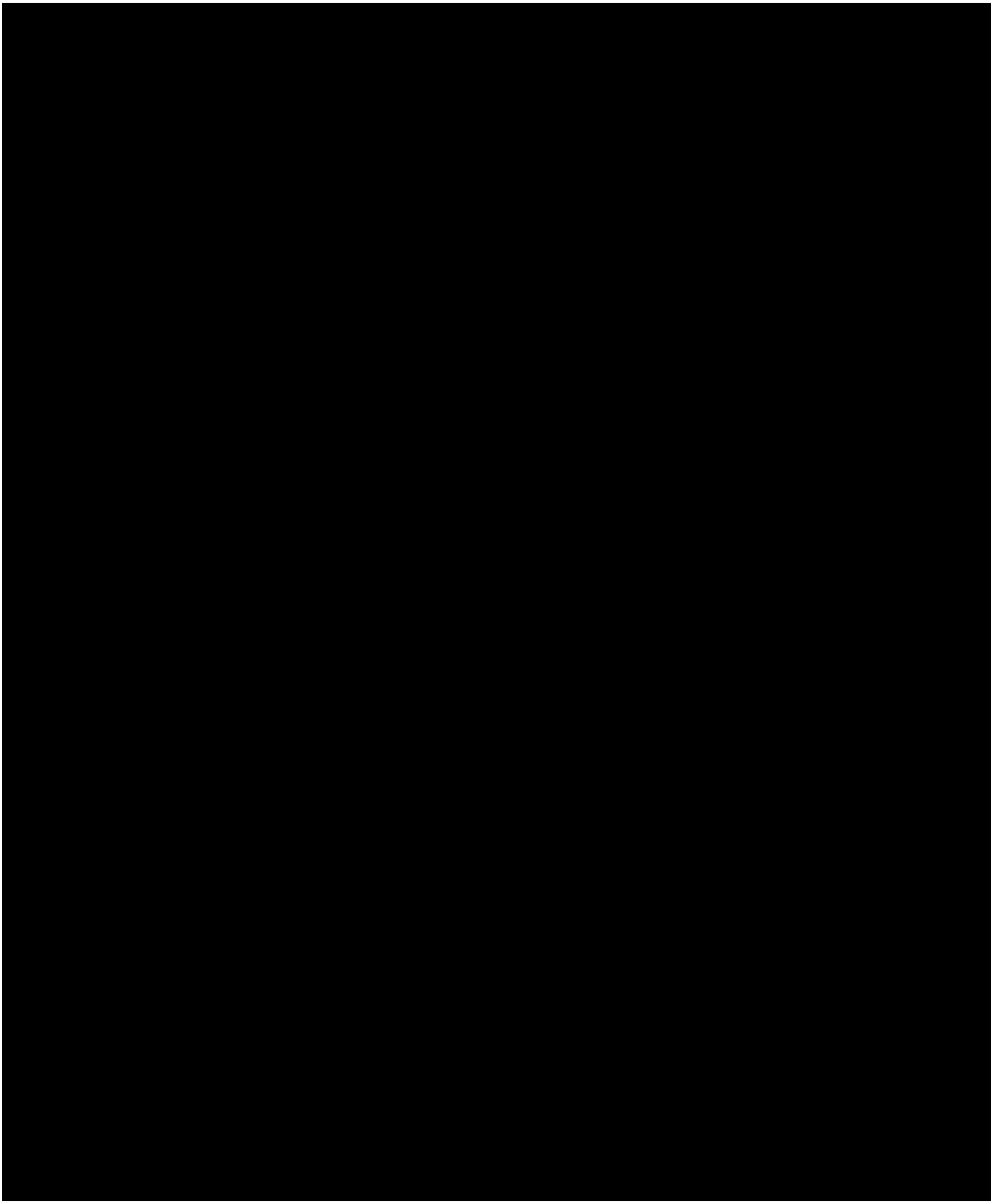

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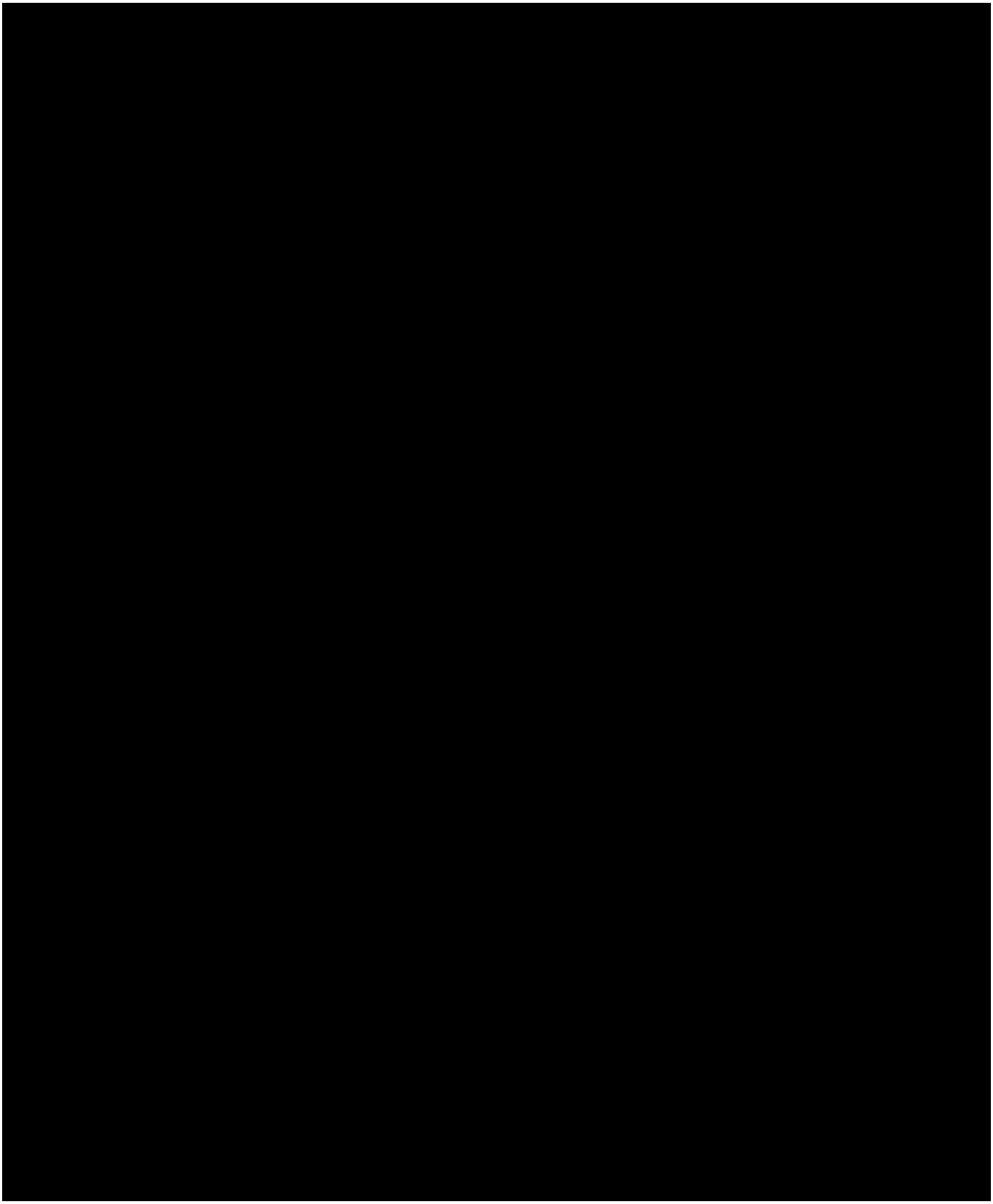

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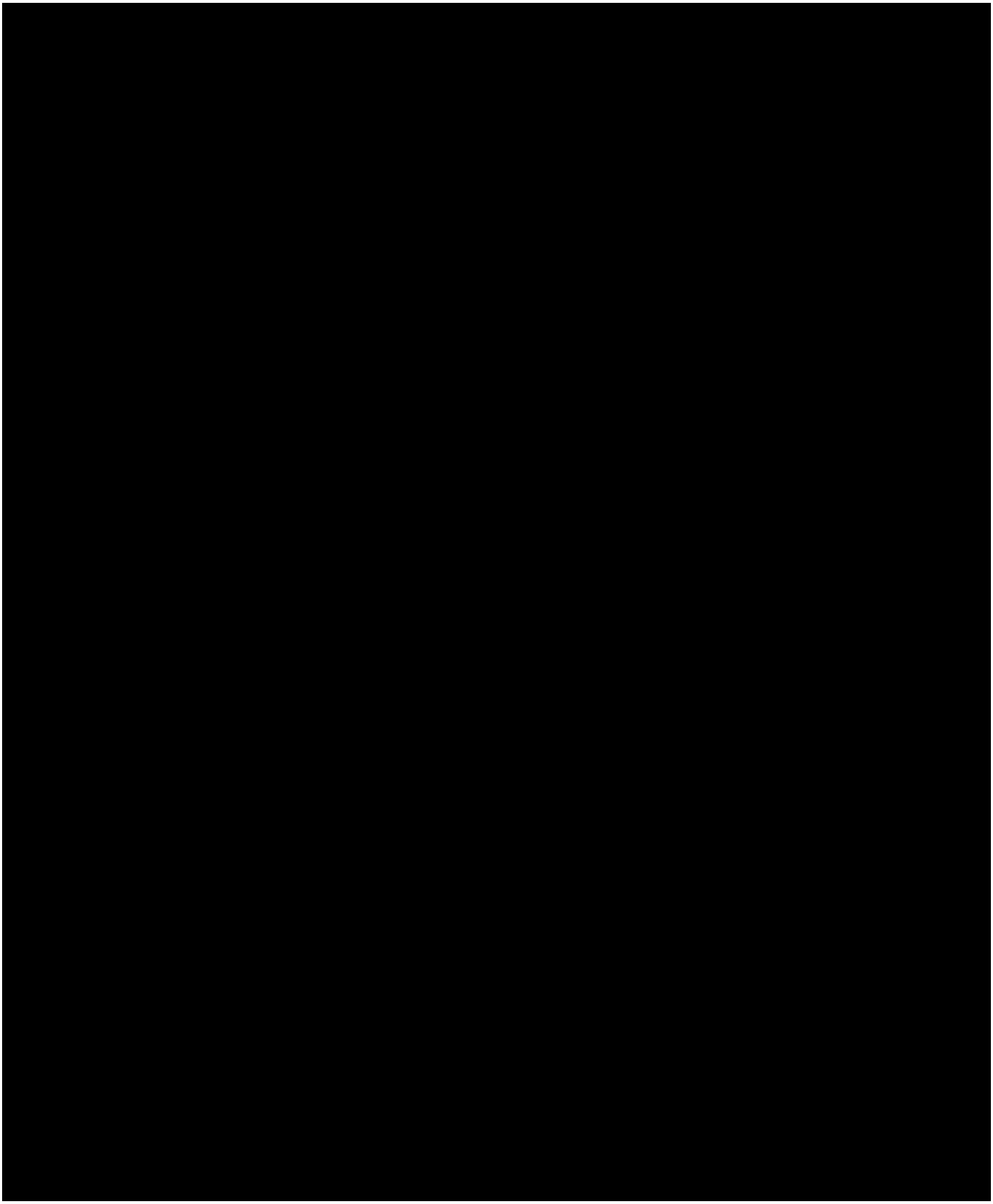

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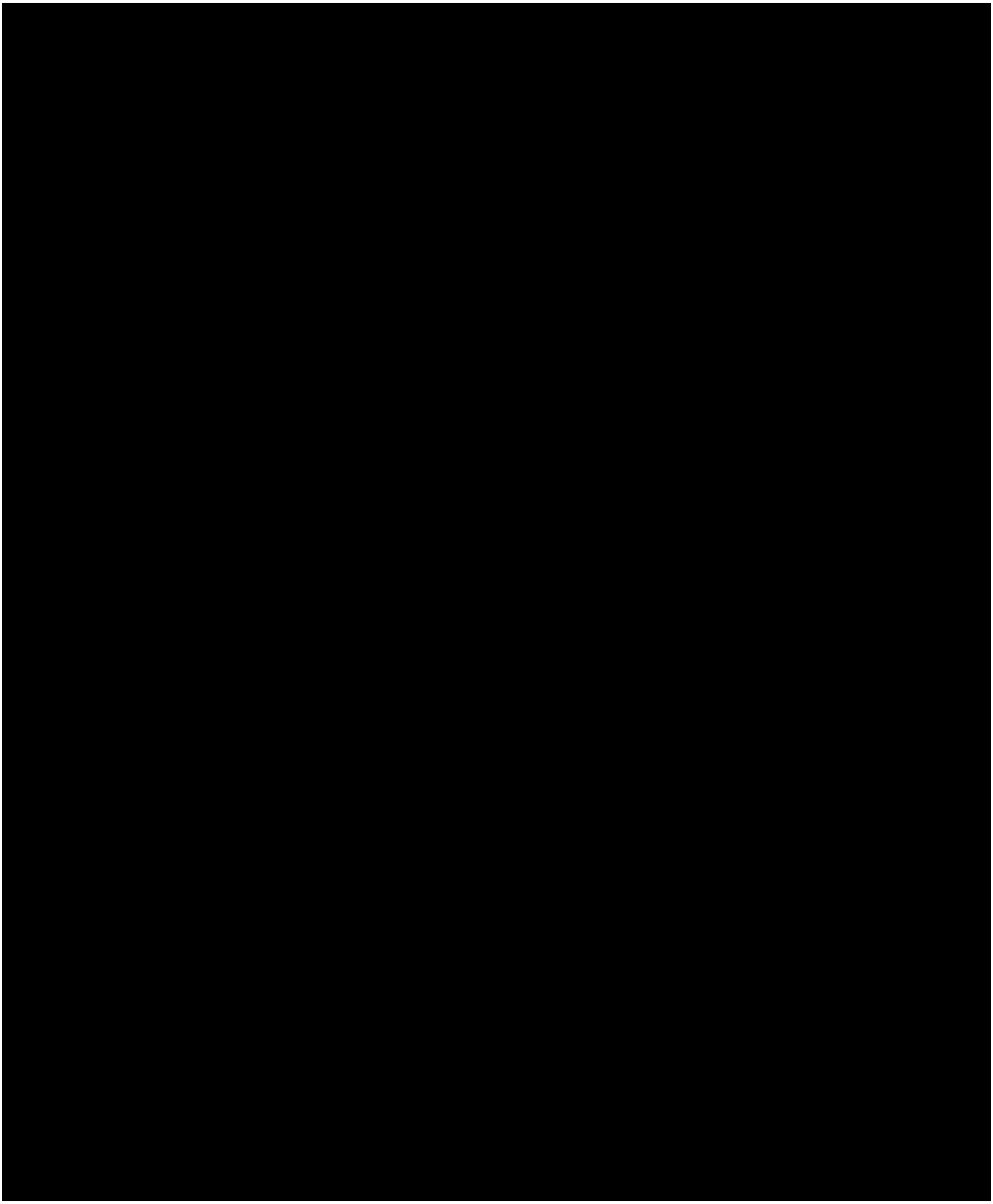

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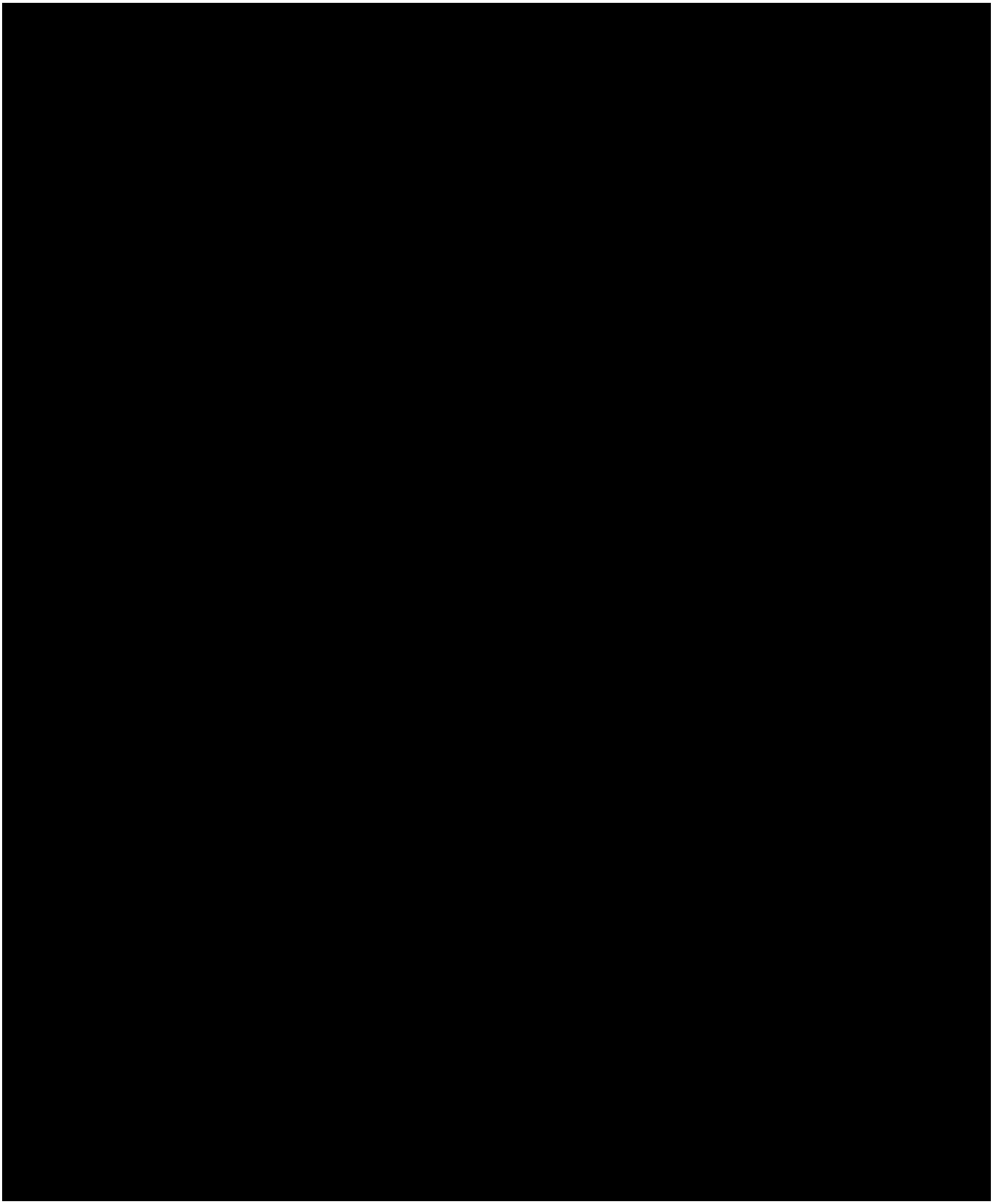

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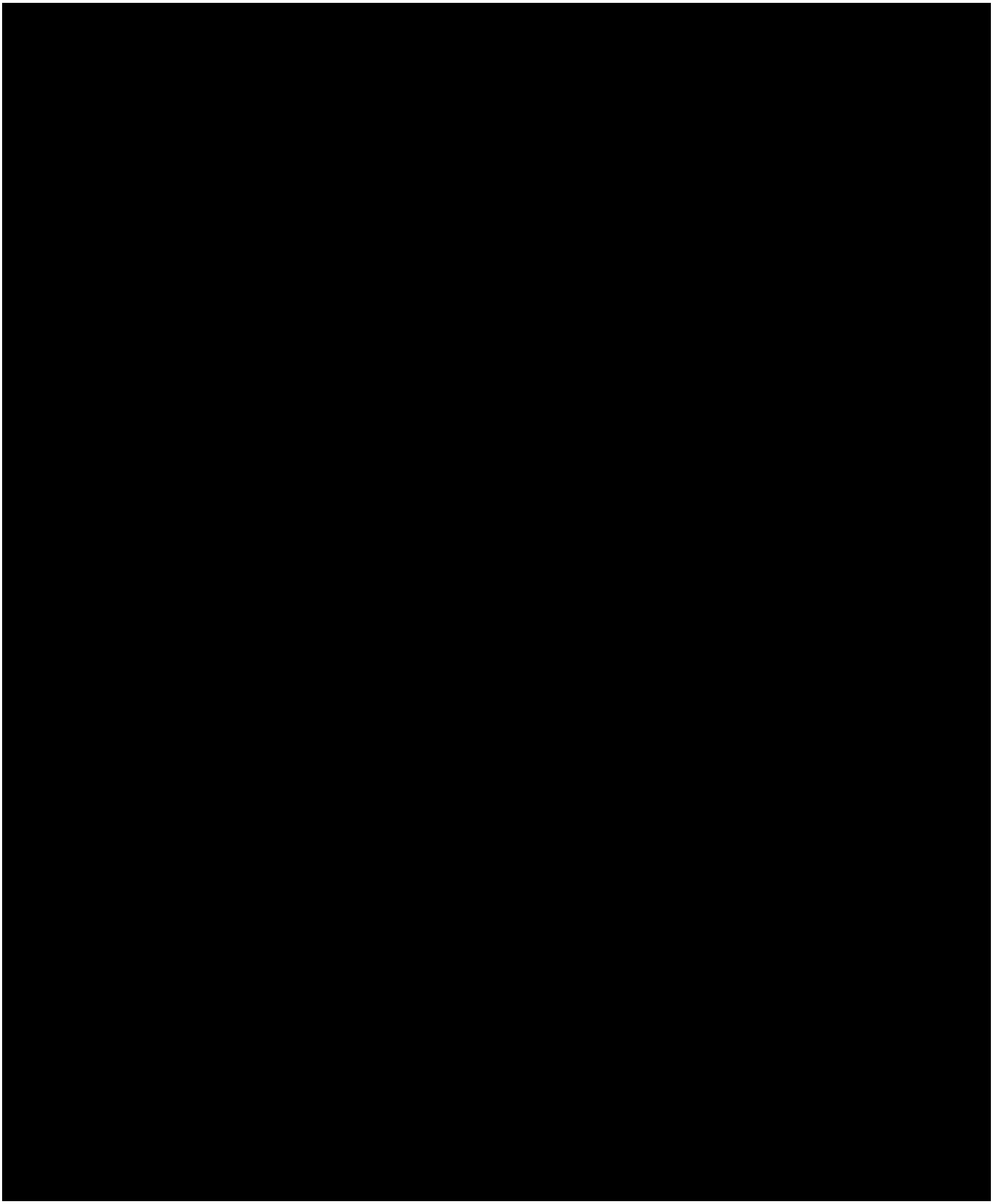

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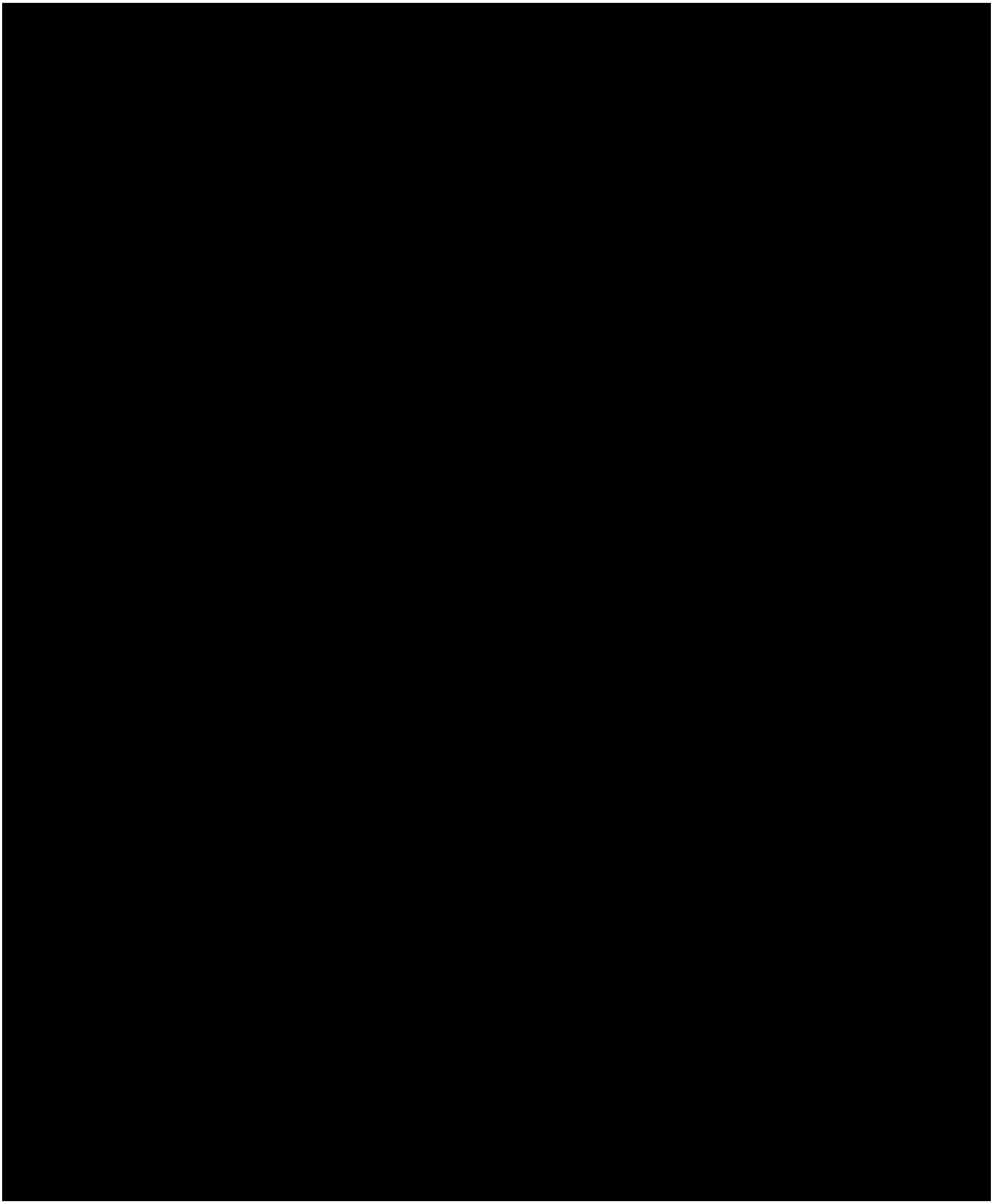

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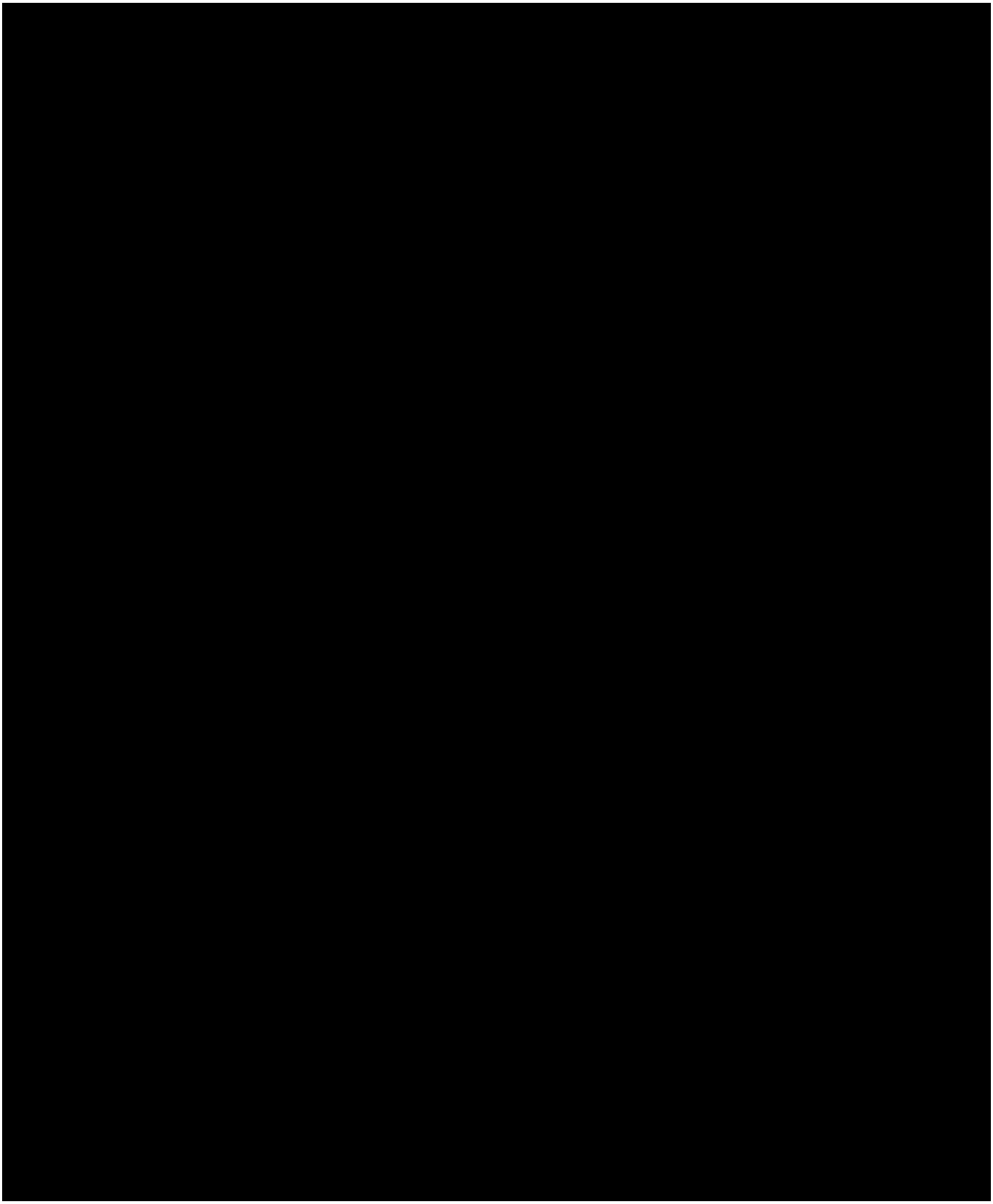

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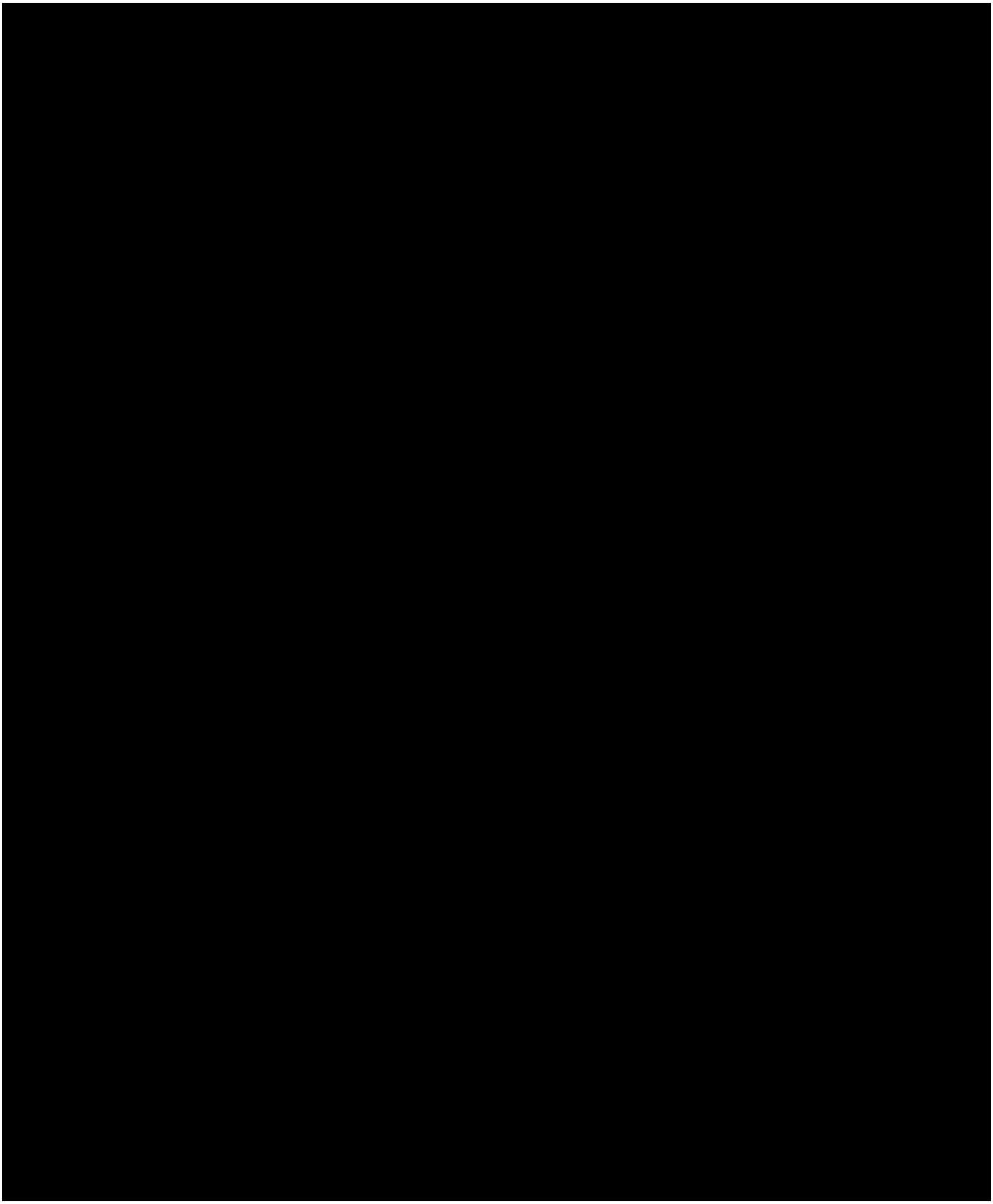

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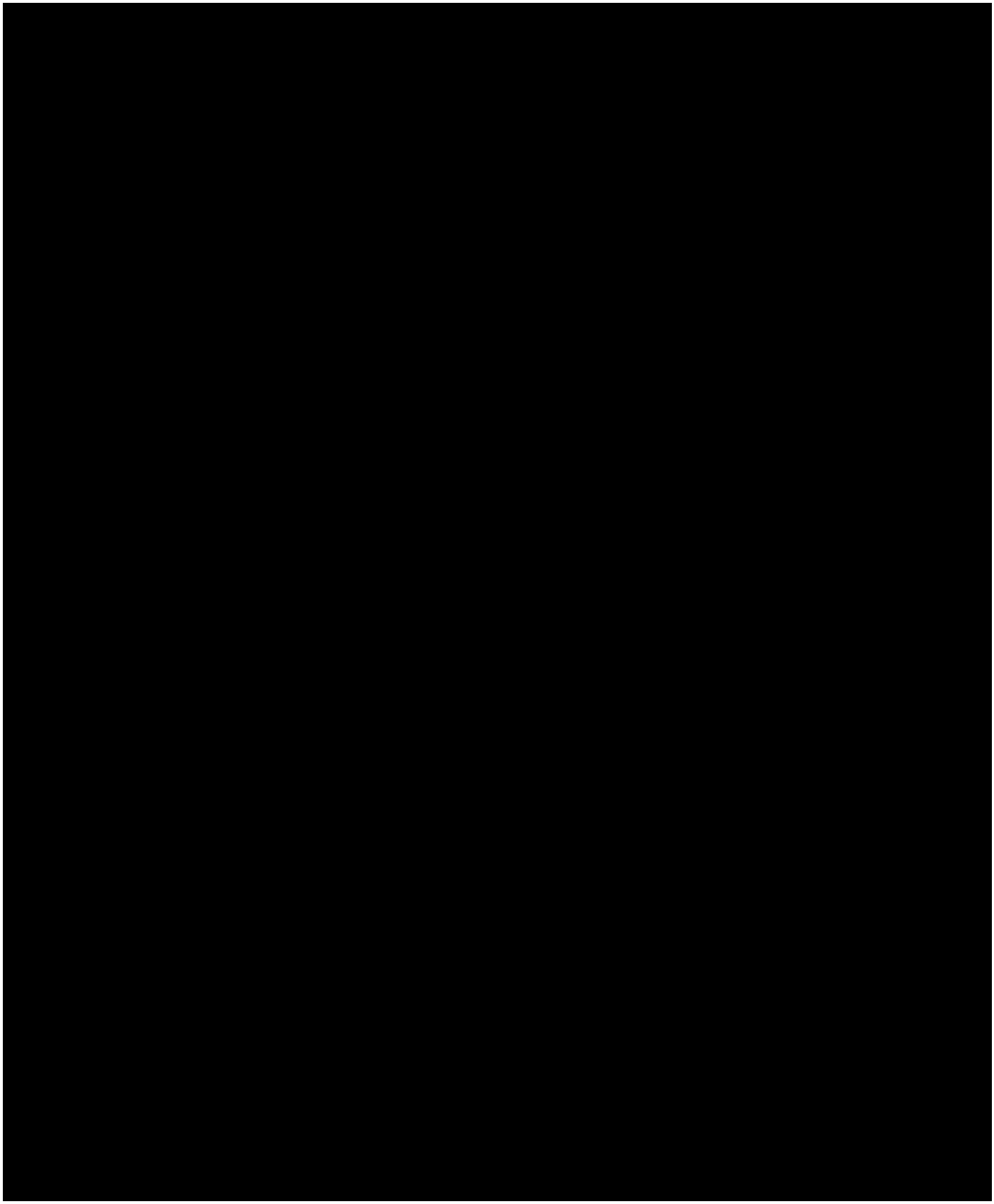

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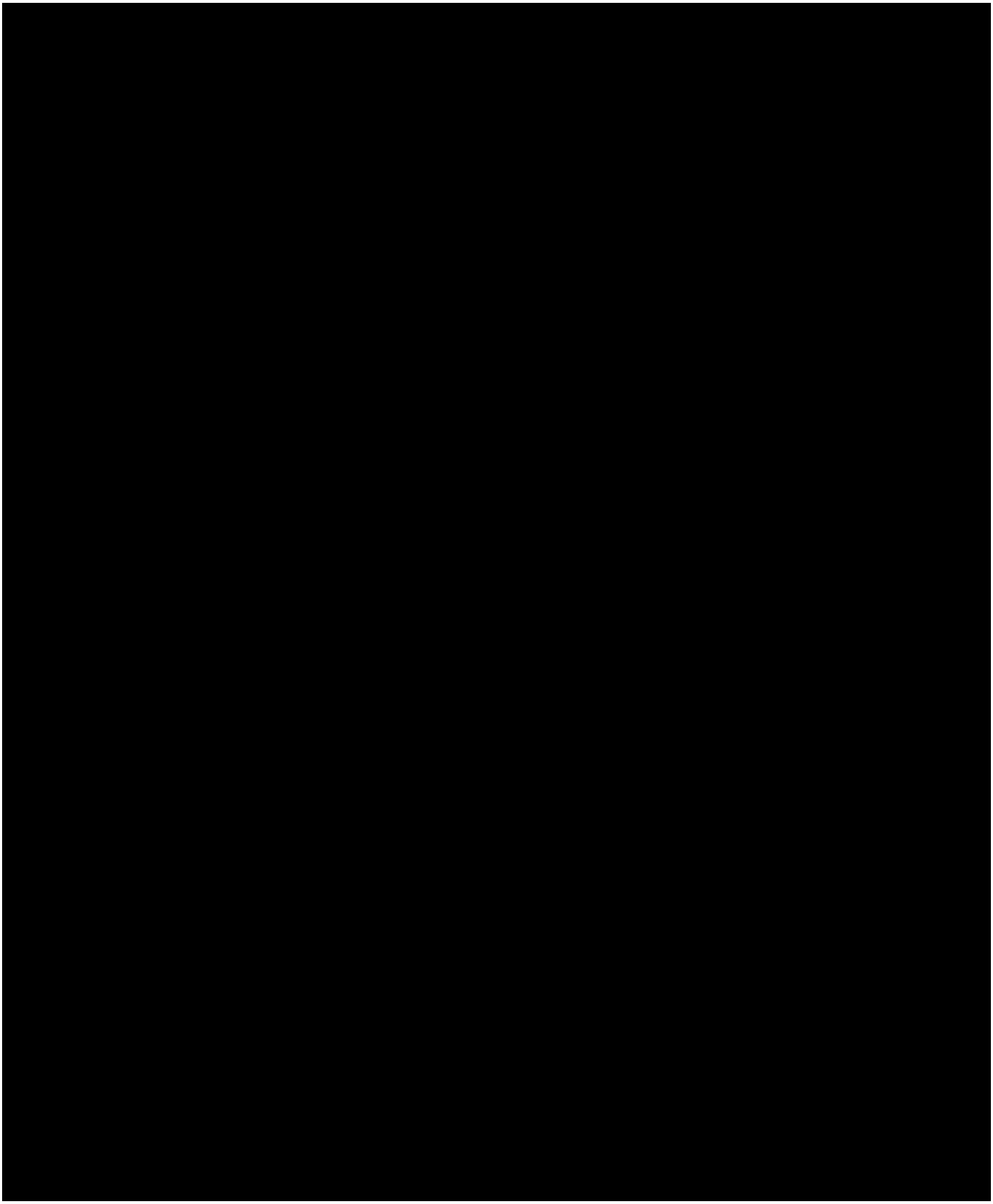

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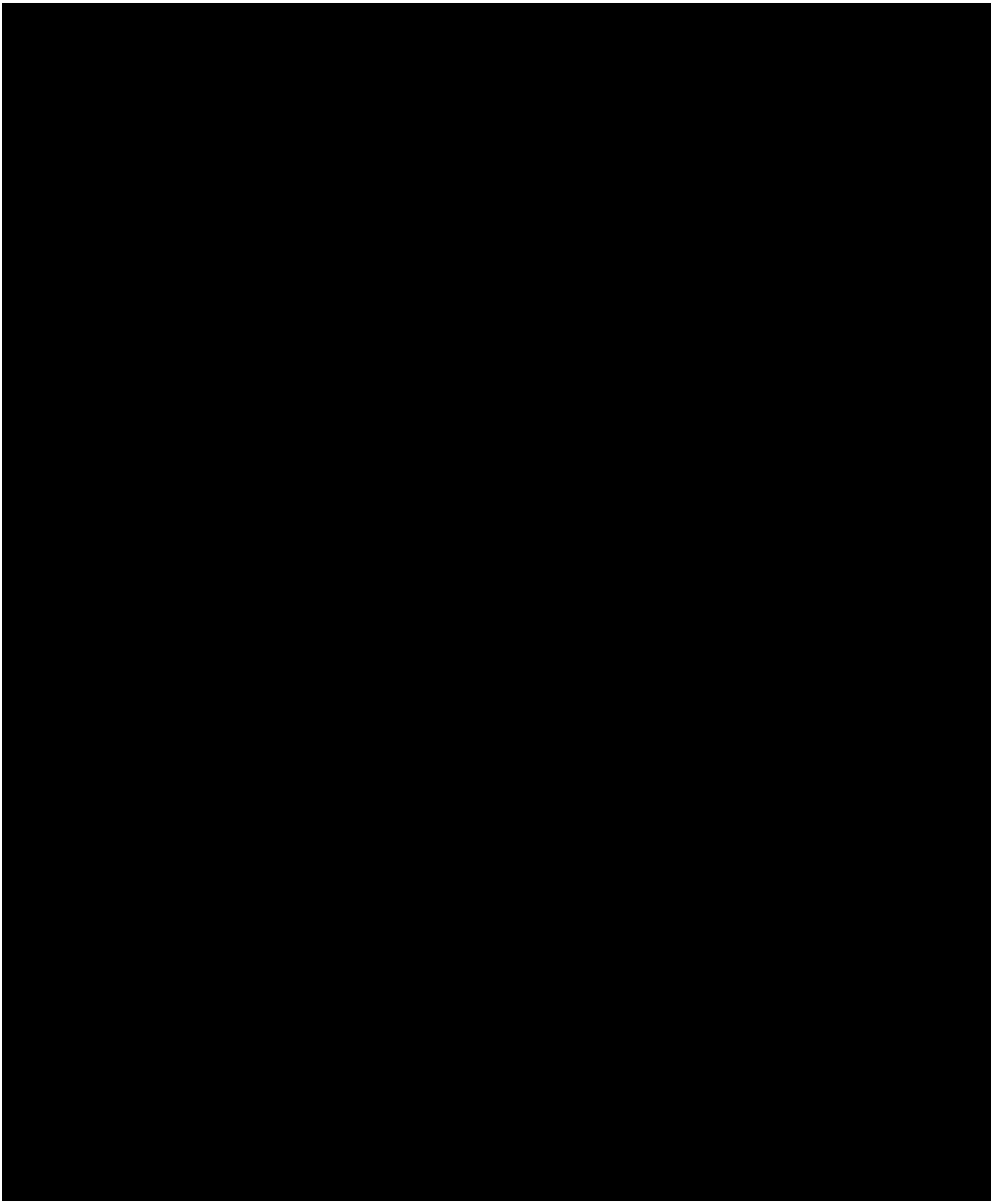

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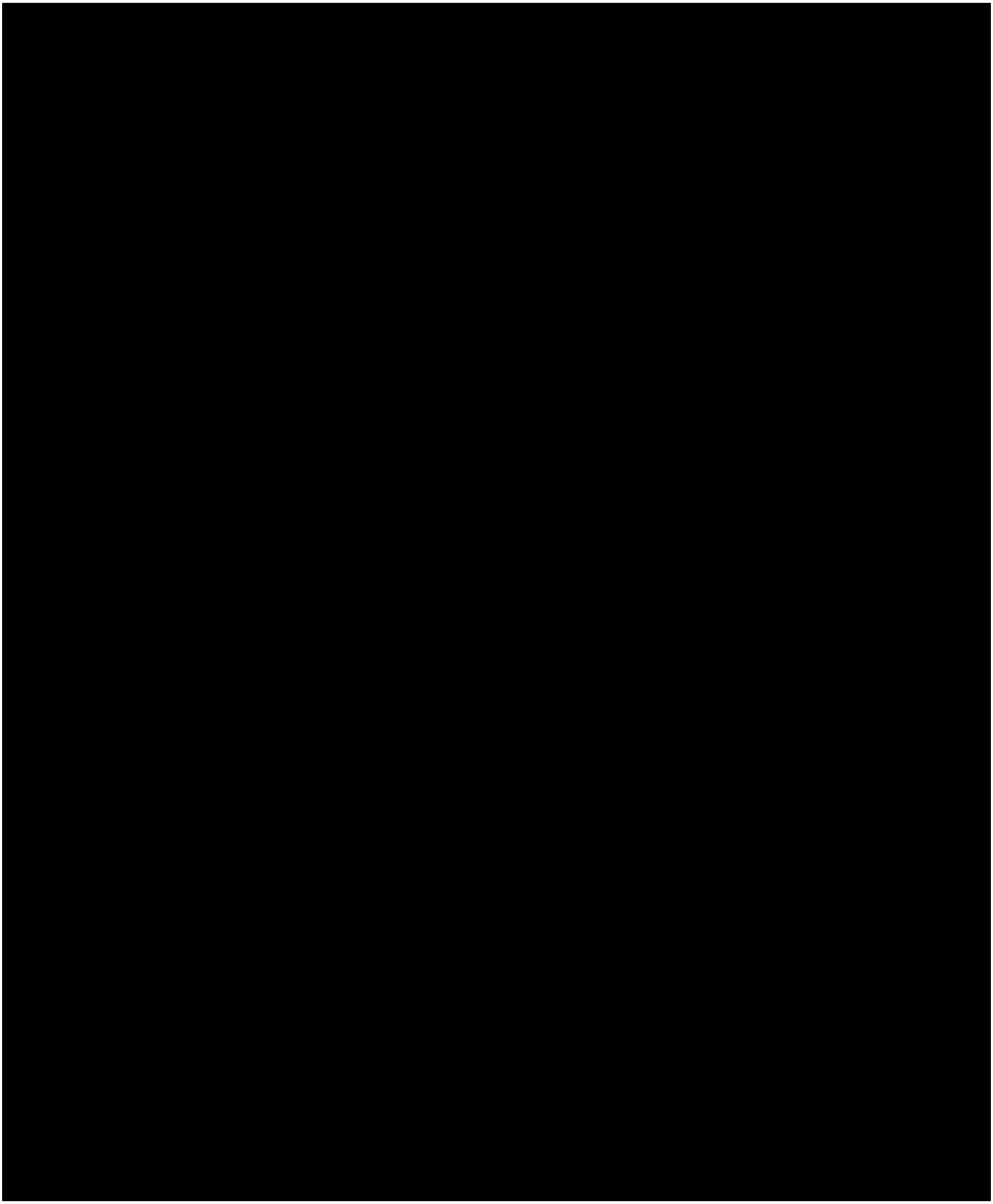

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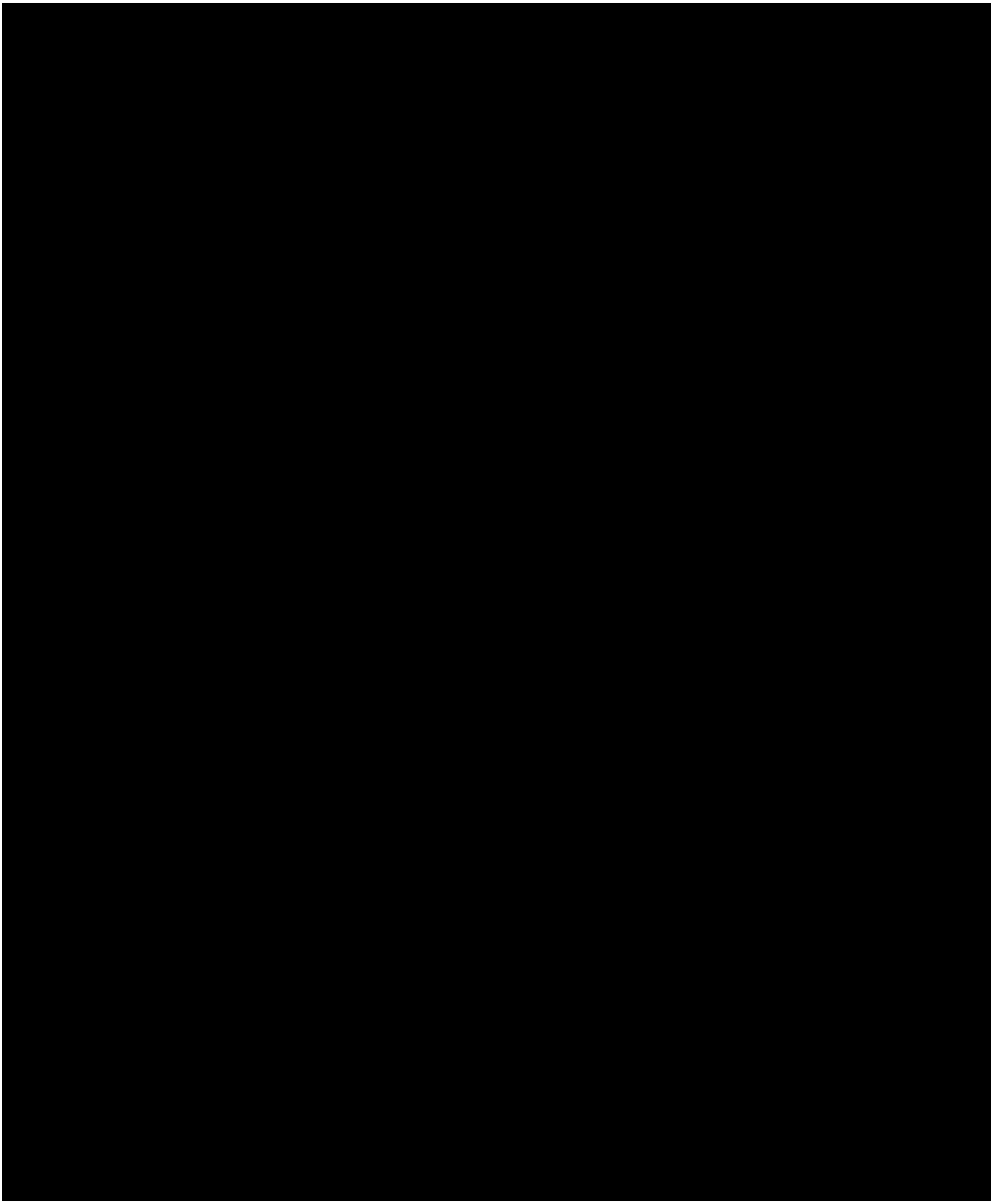

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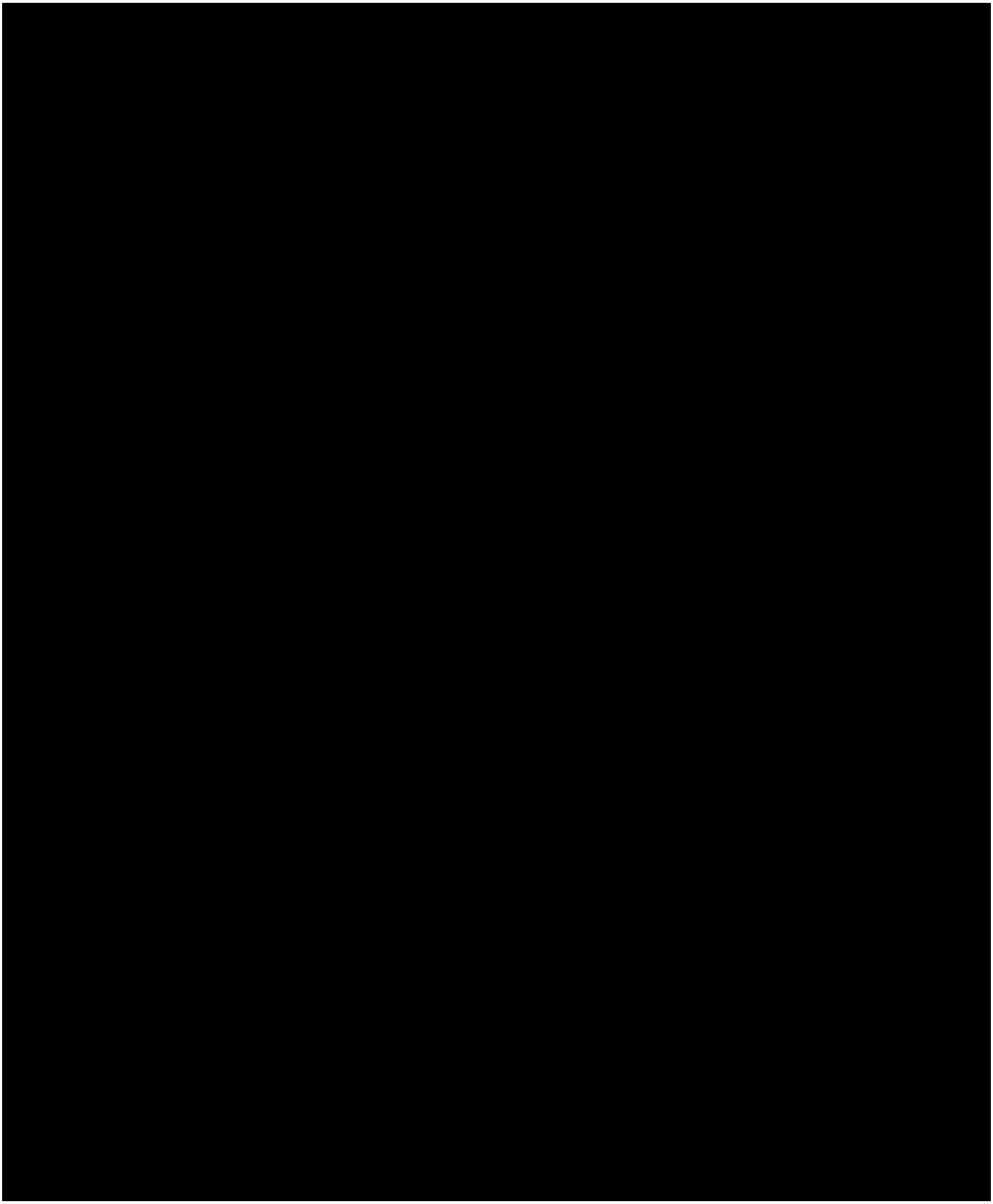

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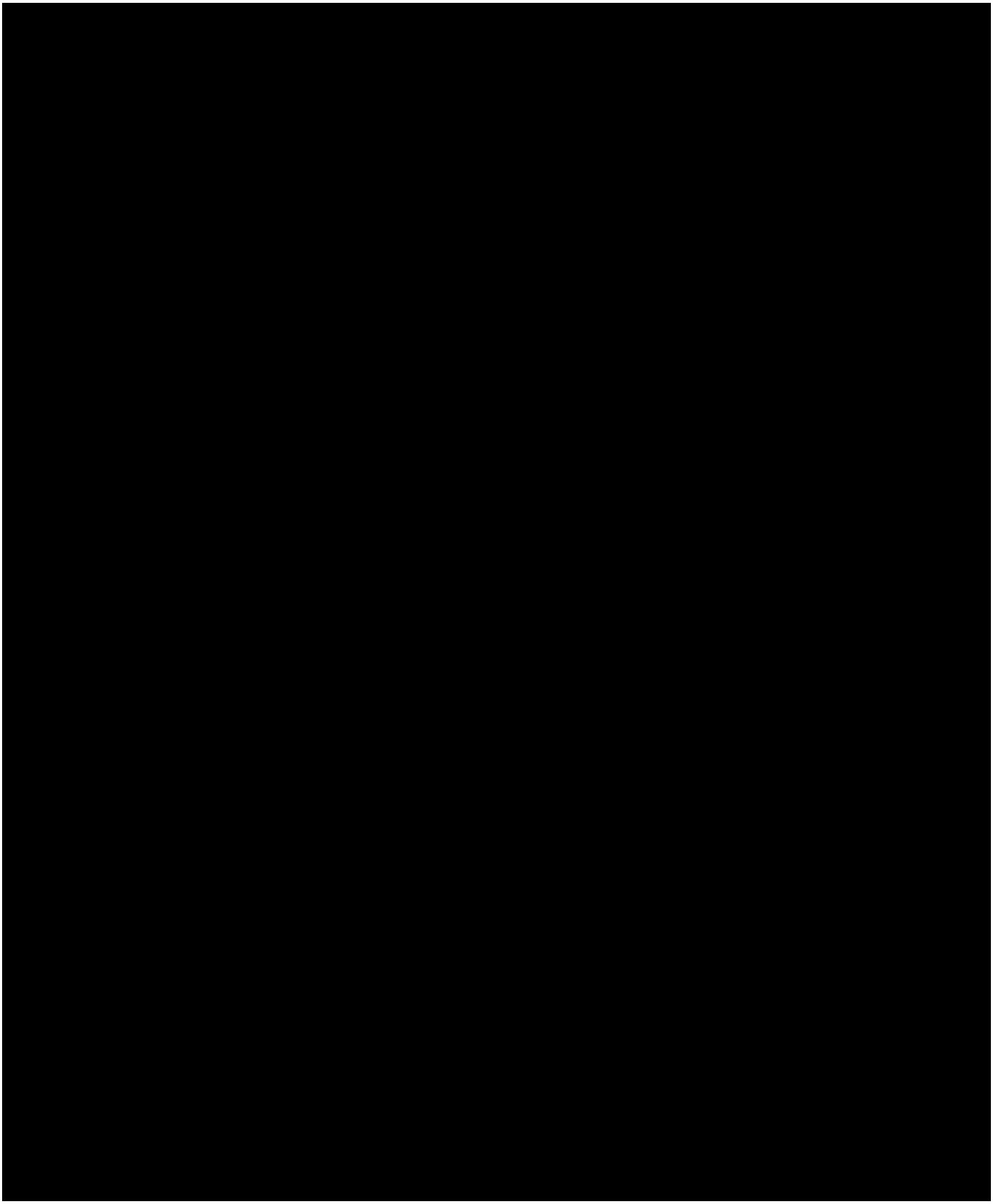

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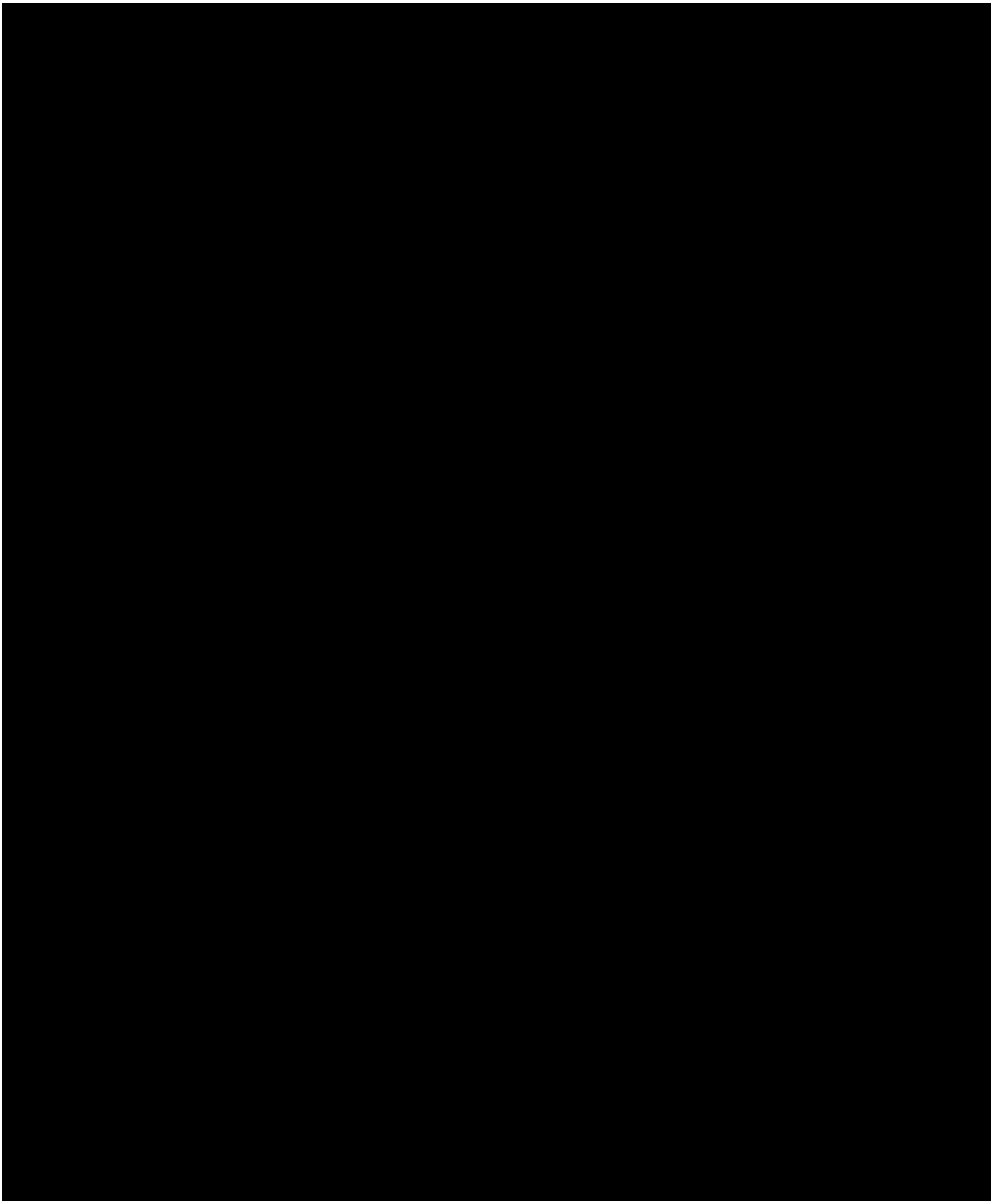

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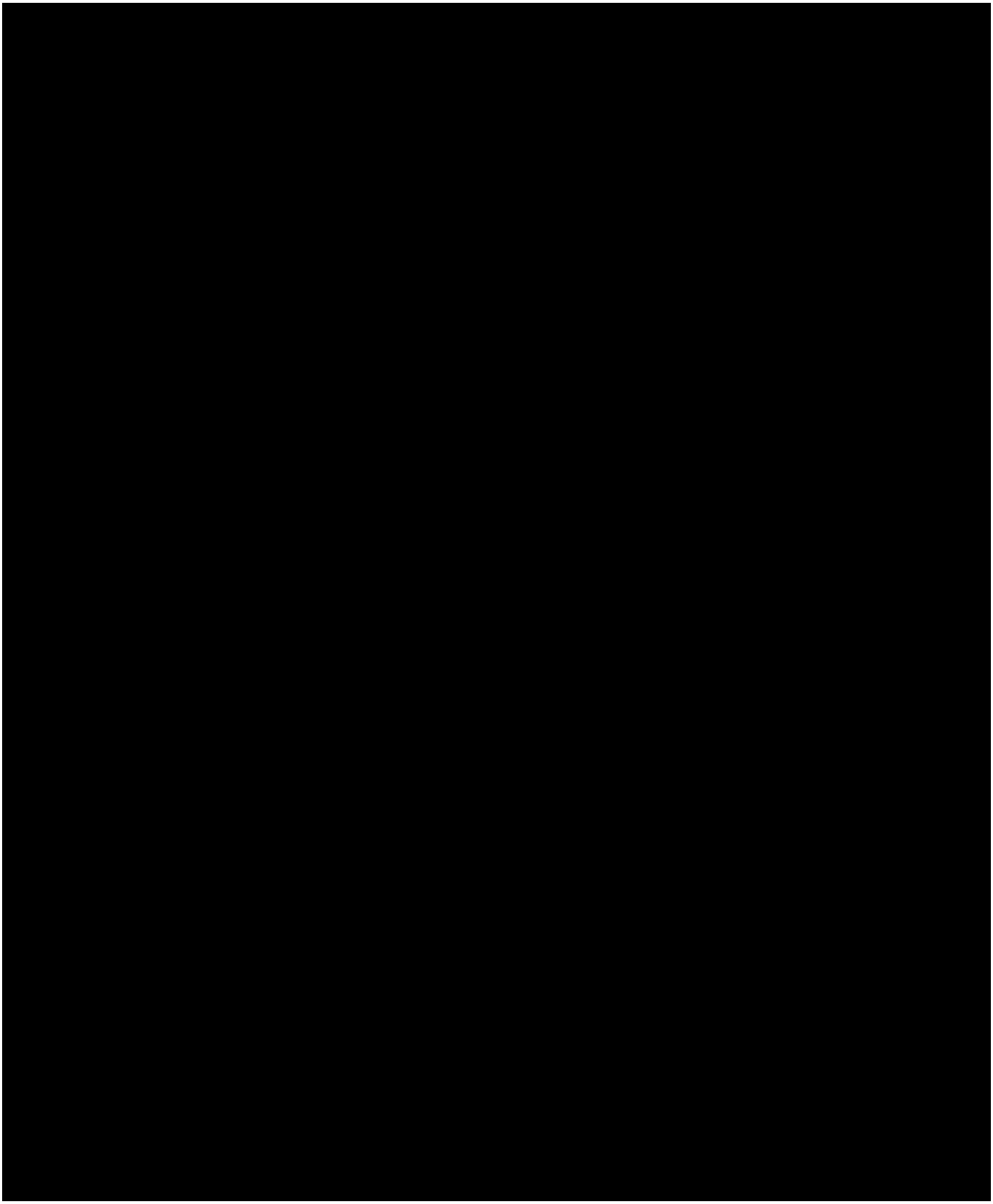

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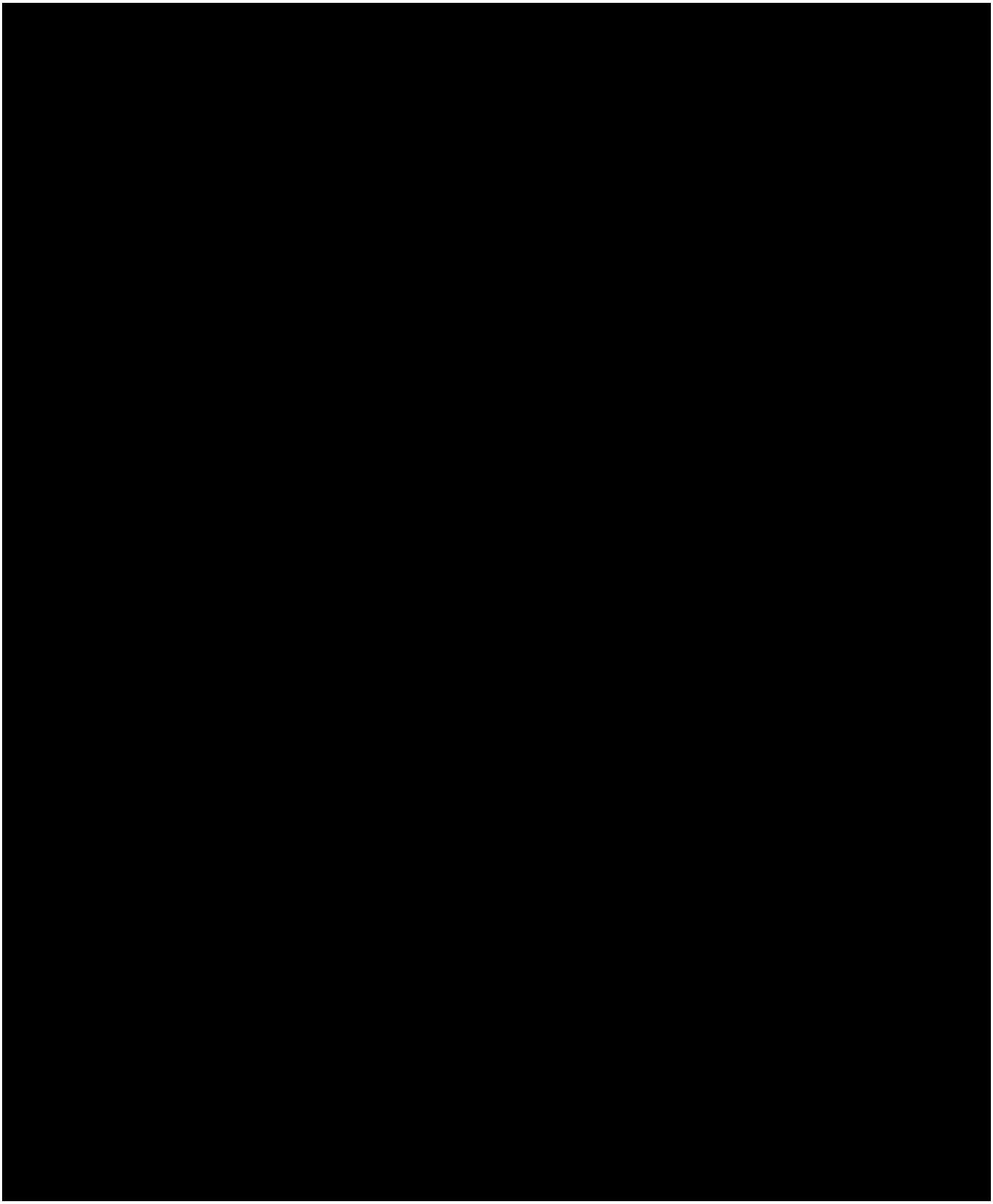

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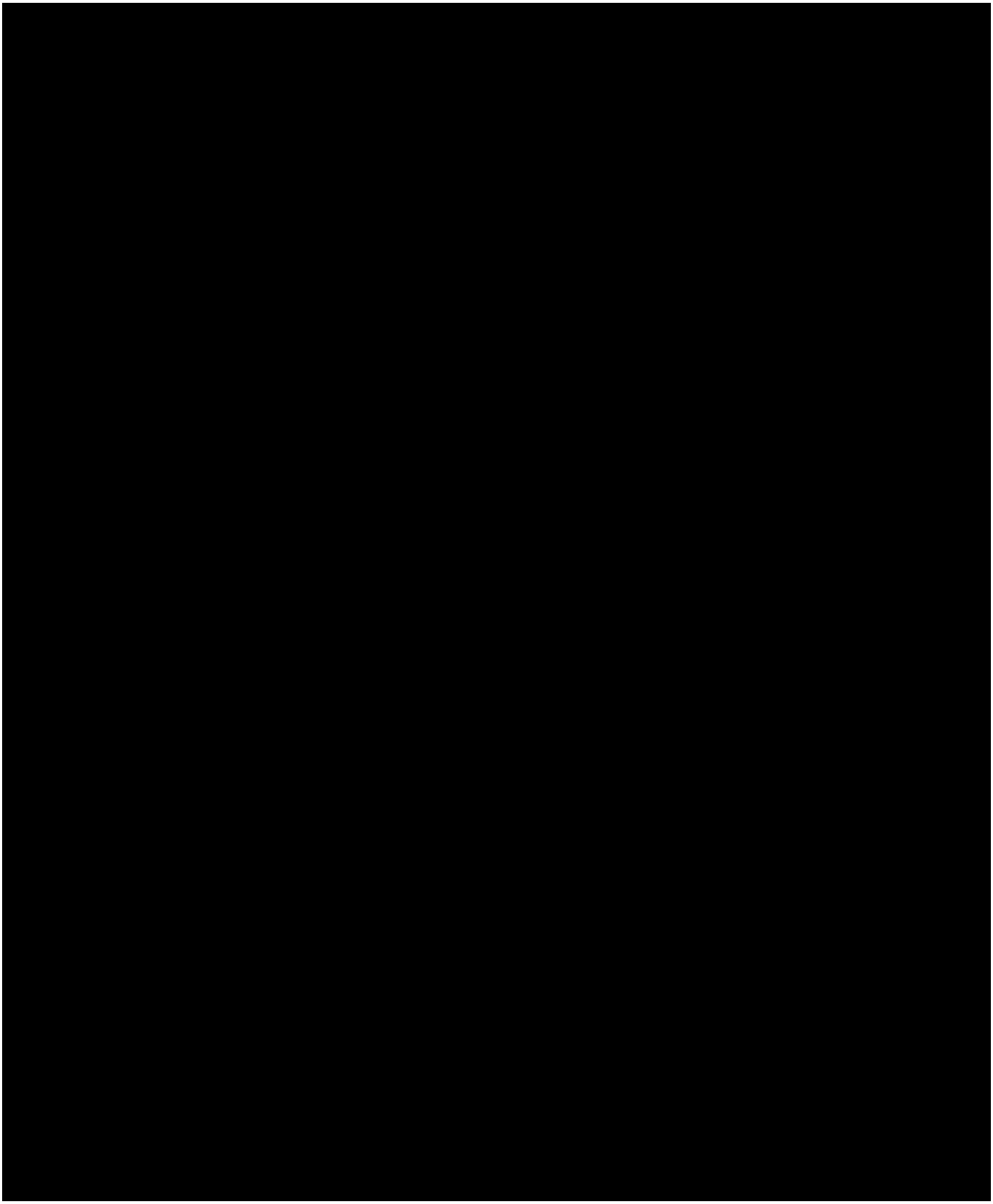

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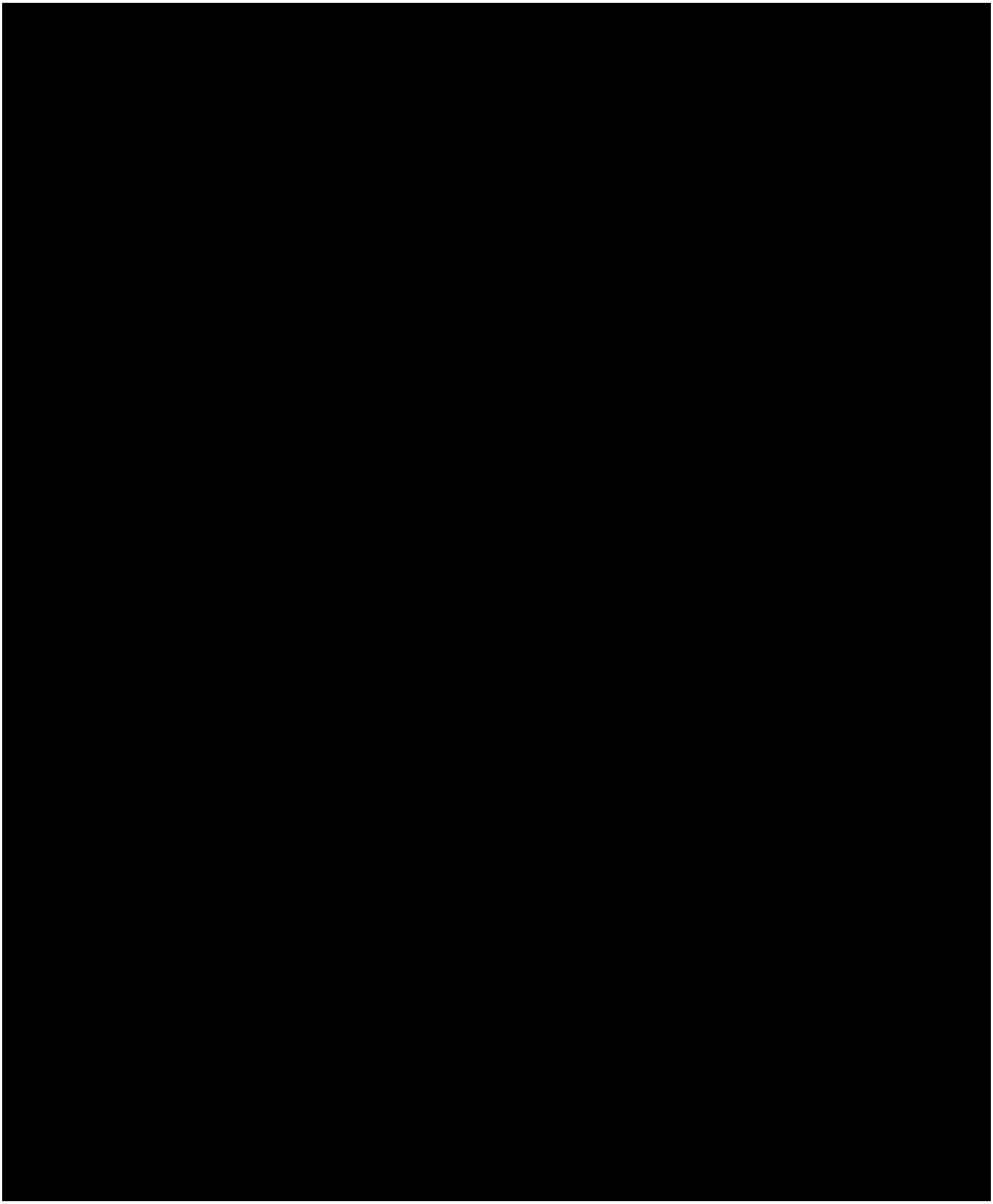

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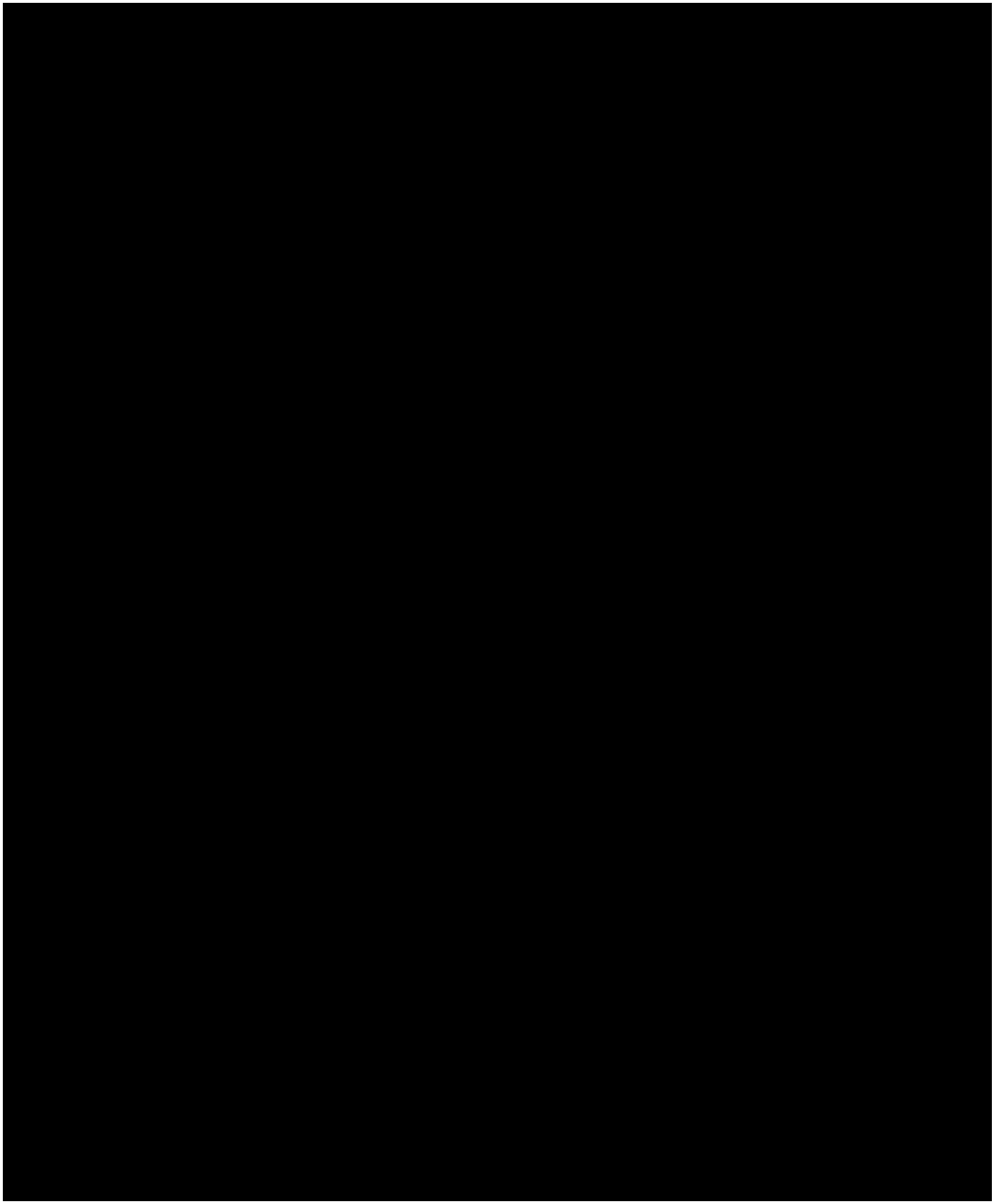

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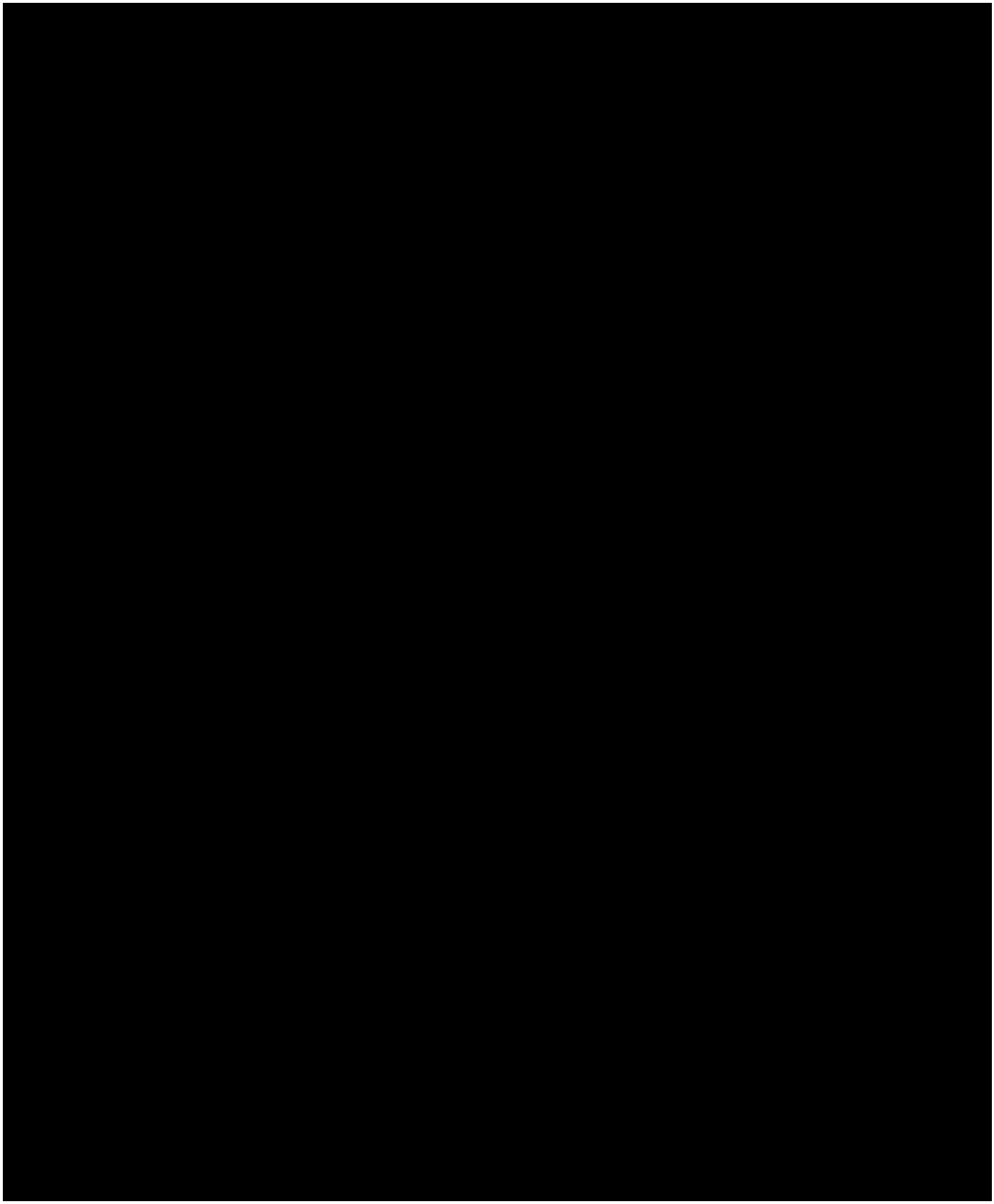

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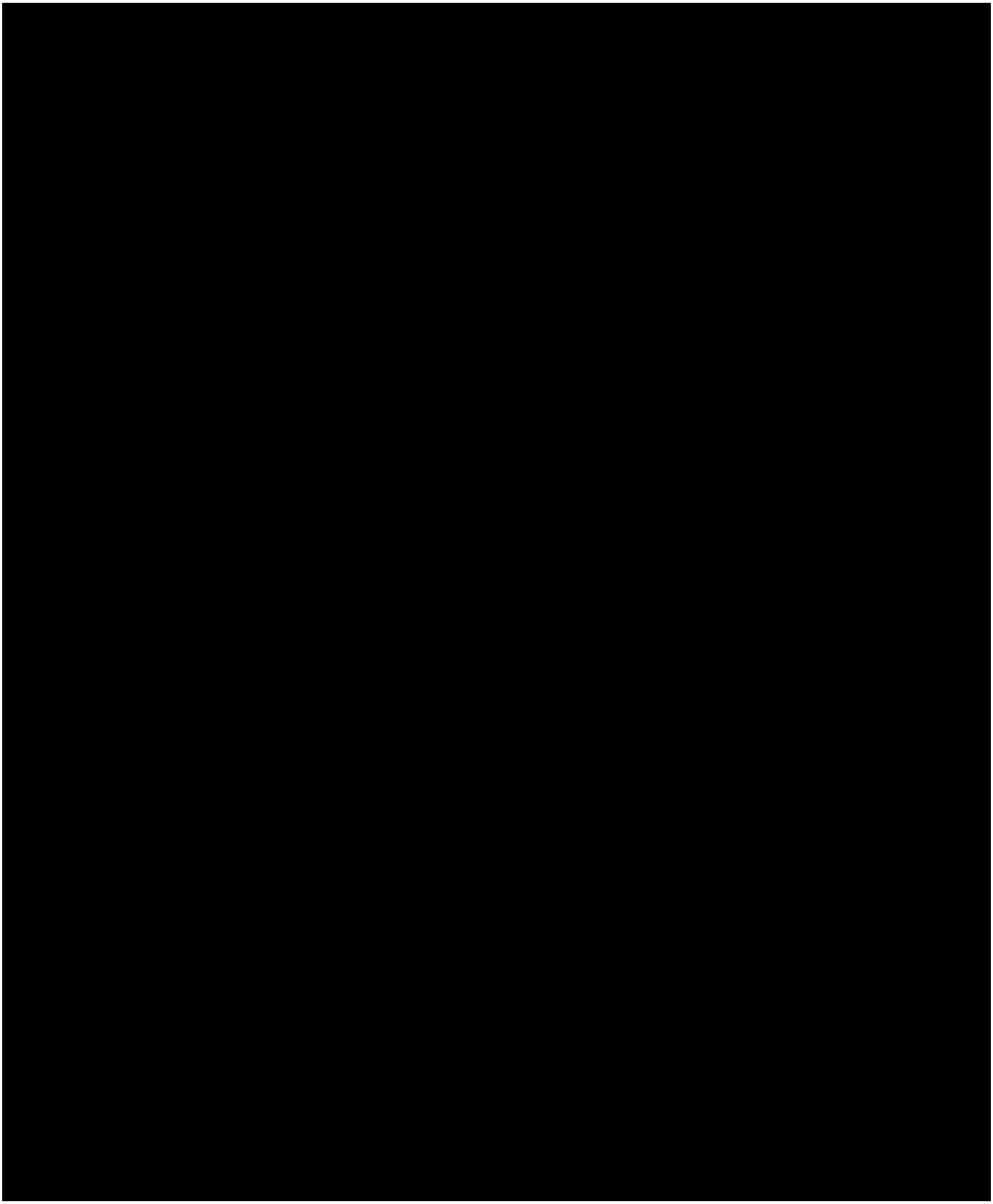

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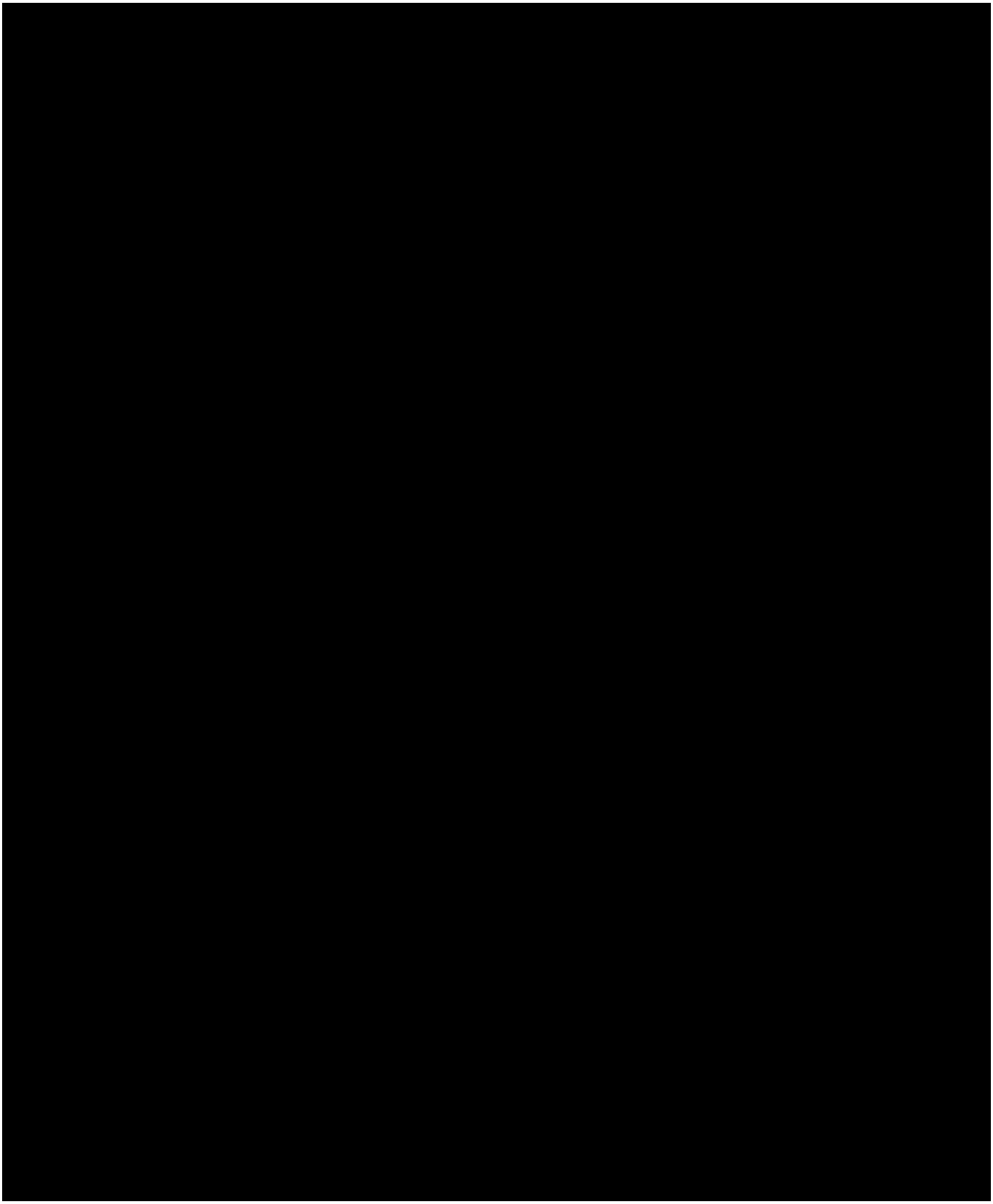

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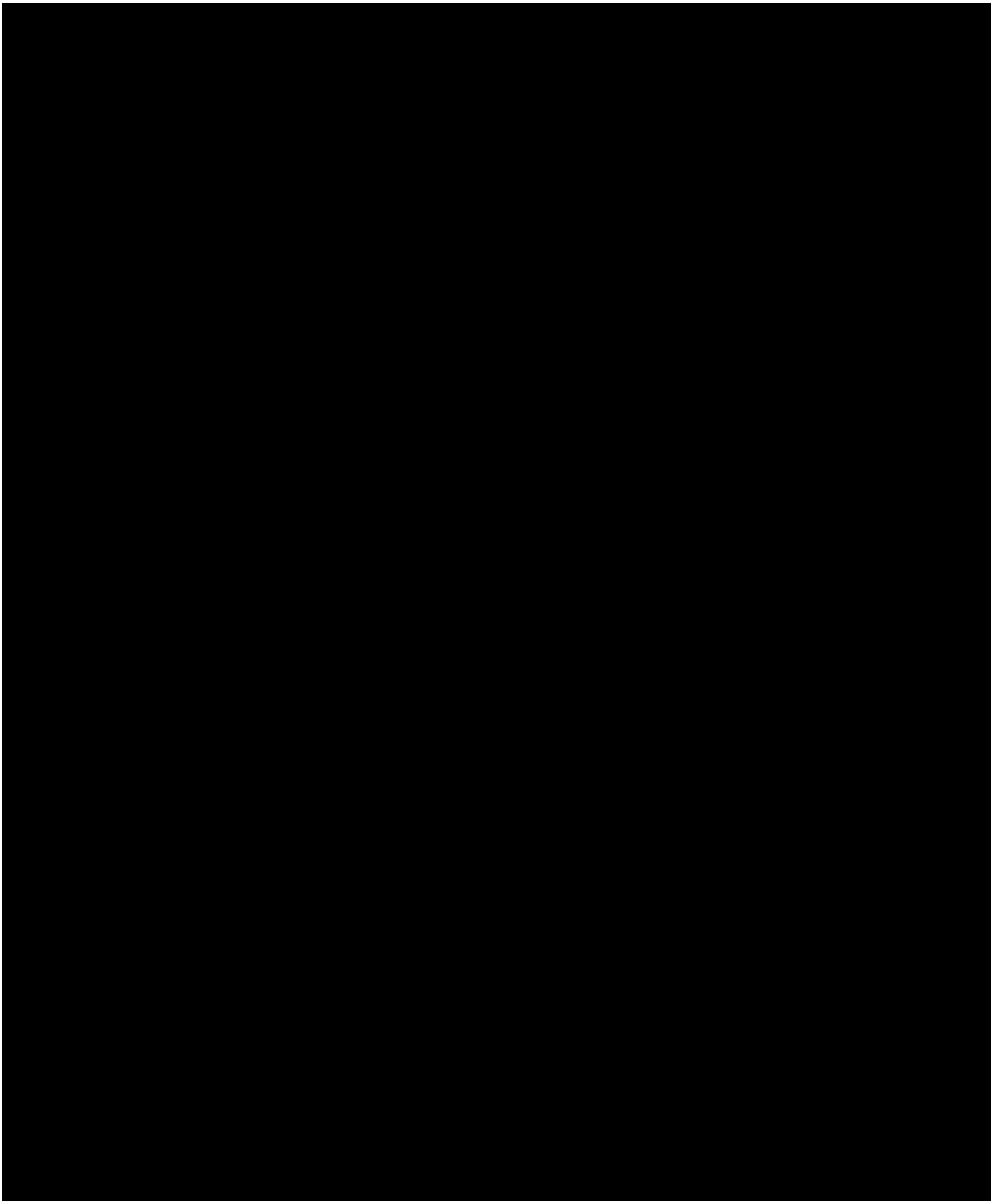

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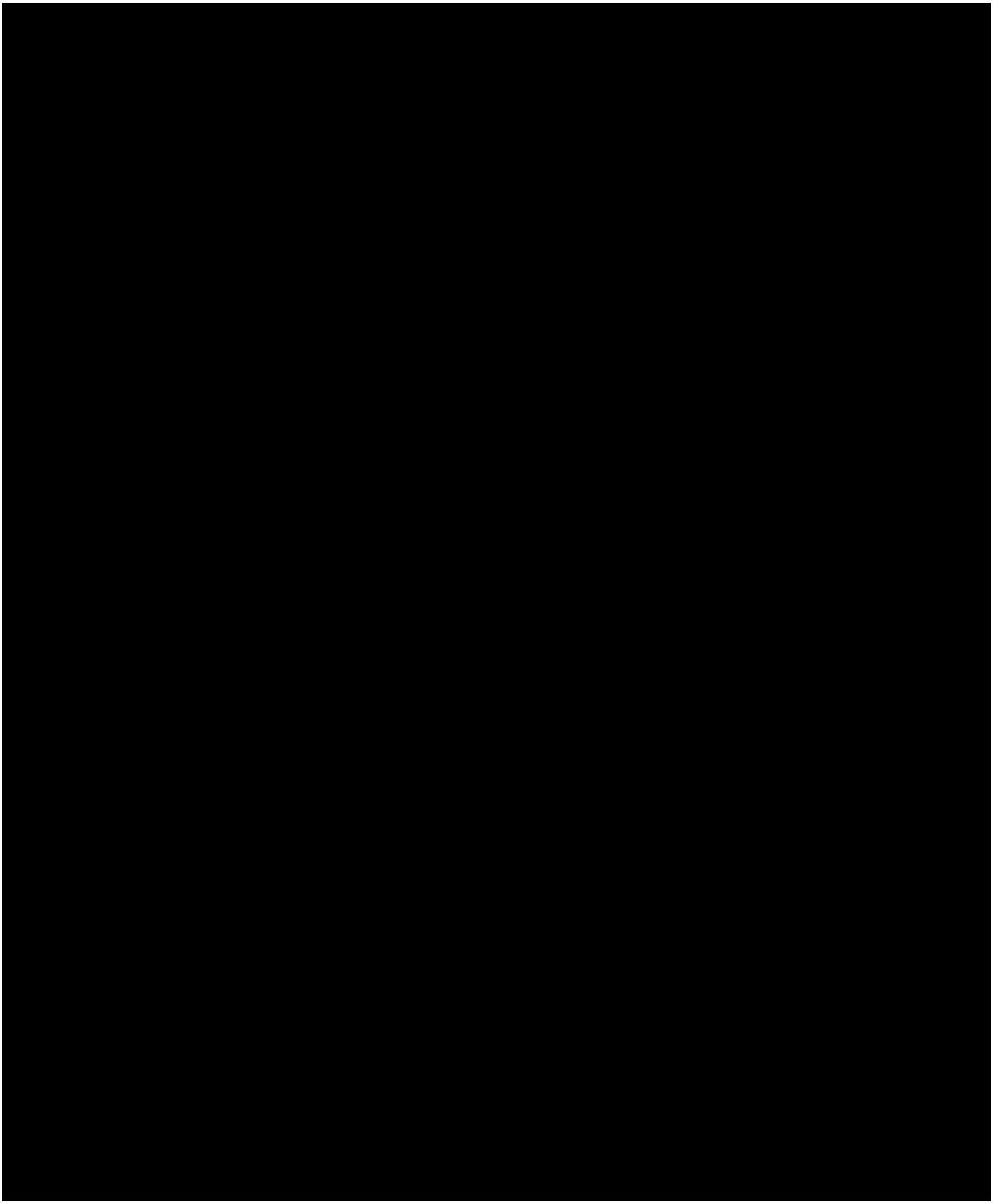

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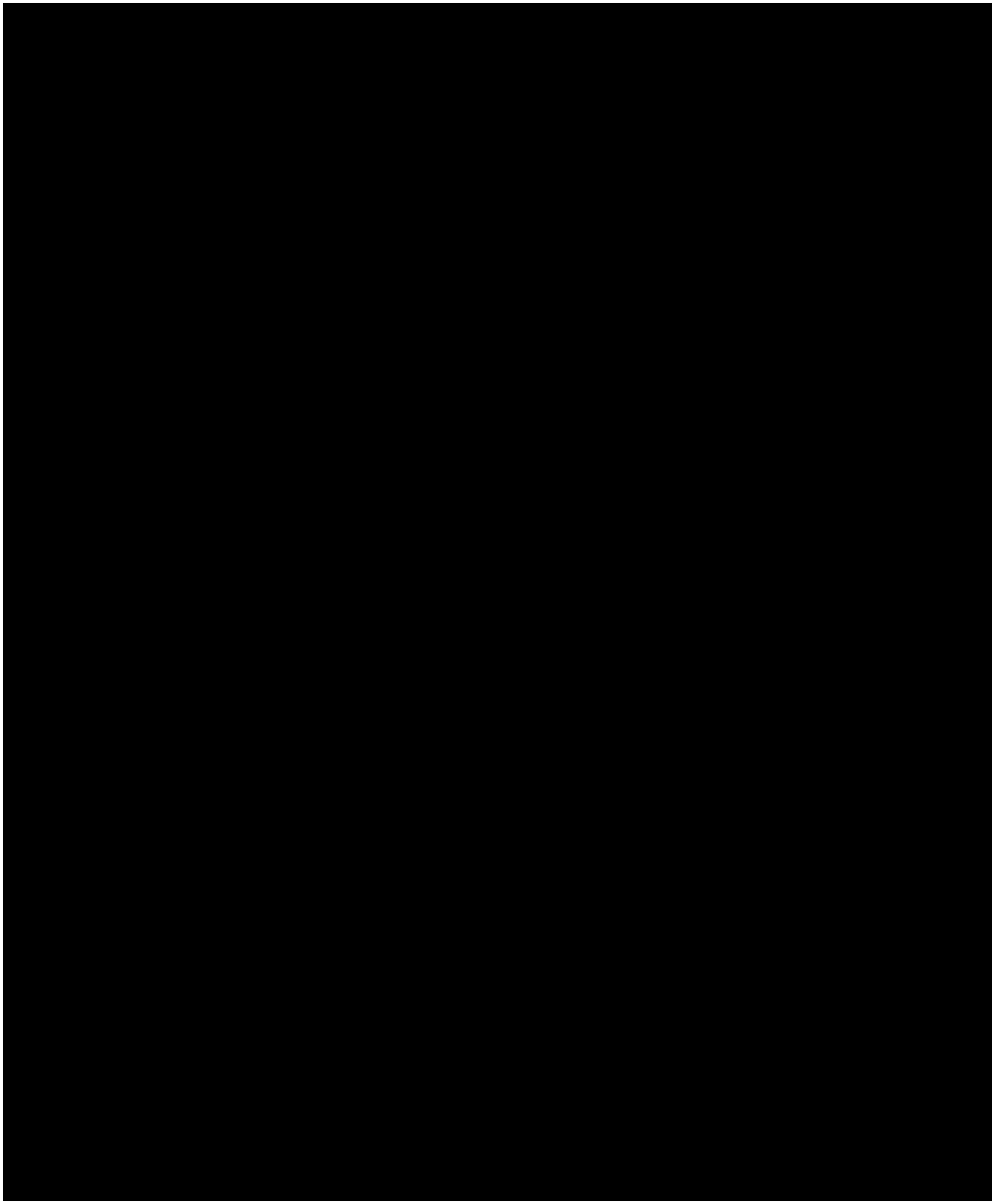

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5.1.5 Subcontractors

Services "To-Be" Performed by Subcontractors

Logic House, Ltd. and Intueor Consulting, Inc. will provide qualified technical and business analyst/architect, technical writer, and project scheduler resources to assist in Project Management and Planning, Pre-Solicitation, and Solicitation and Procurement services. solicitation, and optional implementation oversight activities throughout the life cycle of the project. If CSG is awarded the Optional Implementation Oversight work, Logic House and Intueor will provide qualified testing resources to assist in completion of required work as detailed in this RFQ.

Logic House, Ltd.

Logic House Ltd. was incorporated in the Commonwealth of Pennsylvania in April 1990. They have been providing Information Technology consulting services and staff augmentation hourly based services for over 24 years. Logic House is a certified WBE in Pennsylvania, and is also nationally certified by the Woman Business Enterprise National Council (WBENC).

Logic House Ltd. has always had a primary focus on public sector clients and has been providing consulting services and hourly based staff augmentation services to public sector clients for 24 years. Logic House is currently an approved IT services provider for government agencies in the following states and counties: New York, California, Texas, Los Angeles County California, Florida, North Carolina, Oregon, Georgia, Washington, Minnesota, and Michigan.

Logic House has a strong consulting practice that focuses on Unemployment Compensation and Health and Human Service automation projects. Over the past 24 years Logic House has participated in several large scale automation projects for many states including the following: Massachusetts Unemployment Insurance Automation Project, New Mexico Unemployment Insurance Automation Project, Arizona Employment Security Business Process Reengineering Project, New York State Functional Roadmap (FRM) Project, Indiana Welfare Modernization Planning Project, Indiana Welfare Operational Verification and Validation Project, Louisiana Welfare Modernization Planning Project, and the Texas HHSC Y2K Validation Project. Our consulting experience with government agencies allows us to recruit and deliver candidates with agency specific business knowledge.

Logic House has developed an outstanding capability to provide high quality candidates for our clients and to respond quickly to their needs. They fully understand the competitive pricing, performance requirements, and quick turnaround times required by our public sector clients. As mentioned previously, we are currently engaged in several other highly competitive IT service contracts and have recent and relevant experience performing in very competitive settings. Logic House has experienced full time recruiters and client service personnel that will support CSG in servicing the needs of the Commonwealth on this project. They have proven

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ourselves "To-Be" very competitive and responsive in such diverse environments as Los Angeles, California, Austin, Texas, New York City, Albany, New York, Sacramento, California, Raleigh, North Carolina, Des Moines, Iowa, Denver, Colorado, Boston, Massachusetts, Salem, Oregon and Olympia, Washington.

Intueor Consulting, Inc.

Intueor Consulting, Inc. is a strategy, operations and business technology consulting firm, that specializes in enabling Public Sector agencies maximize business value to their constituents, through sustainable business transformation. Intueor was incorporated in the State of California and has consultants across the country, who collectively offer hundreds of years of world-class management consulting expertise to support transformative programs undertaken by Public Sector Agencies.

Intueor supports their clients' transformative programs by providing valuable Strategy, Operations and Business Technology Consulting Services:

- ***Strategize*** – Intueor develops and implement actionable strategies to succeed, expand and grow their clients' businesses in the present as well as for the future
- ***Optimize*** – Intueor reviews and assesses business operations with the objective of improving their clients' operational performance, develop and implement (remedial or proactive) transformational programs that enable them to outperform their mission
- ***Innovate*** – Intueor helps their clients manage technology investments so as to utilize technology as a catalyst in implementing growth strategies as well as transformational programs

In response to this RFQ, Intueor offers their Technology Consulting services that comprise of:

- ***CIO Services*** that encompass IT Strategic Planning, IT Governance, IT Portfolio Rationalization, IT Service Management, and Enterprise Architecture
- ***Technology Planning Services*** that encompass Business Case Development and ROI Analysis, Needs Assessment and Requirements Definition, and Organizational Change Readiness
- ***Technology Acquisition Services*** that encompass RFx Development, and Technology Selection Support
- ***Technology Implementation Oversight Services*** that encompass Project Planning, Quality Assurance, and Technical and Functional Support

Particularly, with respect to Unemployment Insurance Technology Modernization Programs, Intueor's consultants have played a very influential role since the early 2000's, in several UI Modernization programs, offering business and technology services ranging from Project Management, Business Analysis, Technology Architecture Definition, Solution Development, and Data Conversion.

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Intueor's Practice Leader for Technology Consulting Services is Ravi Nandivada, a seasoned consultant and technology professional with experience in providing technology solutions to private and public sector clients across the world. In his 19 years of experience, Ravi has led and overseen technology projects from concept to commissioning stages. Ravi specializes in assisting clients discover opportunities and solutions to problems that ultimately result in their business success or growth. Of particular relevance to this project, is Ravi's experience as the Executive Sponsor for delivery of modernized Unemployment Insurance Systems for the States of New Mexico, Nebraska, and Mississippi. In addition to overseeing delivery of UI Systems in this capacity, Ravi's focus has been on ensuring that States achieve readiness (organizational, business, and technology) to assume ownership of modernized UI Systems upon completion of the design, development and implementation efforts on these projects.

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6. TRAINING

CSG conducts training to prepare the organization for the JAR sessions of the UC Benefits Modernization project. The targeted recipient of UC JAR training session is the L&I UC SMEs and Stakeholders. The training focuses on the UC principles harmonized with L&I goals and objectives identified to enhance the UC Benefits Modernization project. Emphasis is placed on the components of Unemployment Compensation Benefits.

Our CSG training plan involves training UC subject matter experts (SMEs) on the concepts needed to effectively participate in the JAR sessions. It clarifies the purpose and benefit to the State of completing the JAR sessions. Our training approach incorporates guidance for defining high-level requirements and walks through how requirements are captured and recorded. **This "just in time" training approach has been successful in preparing the workshop participants and the leadership for maximizing the value of the workshops and minimizing the impact on individual schedules.** The CSG team has the expertise to assist L&I in understanding how to take full advantage of UC Benefits Modernization project.

The UC JAR session training provides a solid framework to identify and document requirements. Key elements that comprise the training include:

- **Identification of UC SMEs and Stakeholders** – As an output of the project planning activities, L&I designates UC SMEs and Stakeholders for participation.
- **Training Matrix and Schedule** – A training matrix is developed. The matrix will identify when SMEs will attend the training course.
- **Training Materials** – We organize and develop the JAR session training materials specific to the L&I staff and UC Benefits Modernization approach.

Our proposed approach is to provide a two hour training course, offered four times over the course of a single week within the first month of the project.

Throughout the duration of the project, CSG continues to provide the necessary education and awareness to assure the success of the UC Benefits Modernization.

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APPENDIX A – REQUIRED FORMS

CSG provides the required forms listed below on the following pages.

- **A.1** – RFP Appendix B: Domestic Workforce Utilization Certification
- **A.2** – RFP Appendix D: Trade Secret/Confidential Proprietary Information Notice
- **A.3** – RFP Appendix F: Lobbying Certification Form
- **A.4** – RFP Appendix G: Project References
- **A.5** – RFP Appendix H: Personnel Experience by Key Position

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A.1 RFQ Appendix B: Domestic Workforce Utilization Certification

CSG provides our completed RFP Appendix B, Domestic Workforce Utilization Certification, form on the following pages.

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Master Information Technology (IT) Services Invitation to Qualify (ITQ) Contract
Domestic Workforce Utilization Certification
APPENDIX B

To the extent permitted by the laws and treaties of the United States, this certification will be used by the Agency in making a best value selection for each particular assignment. Each quote will be evaluated for its commitment to use the domestic workforce in the fulfillment of the contract. Maximum consideration will be given to those suppliers who will perform the contracted direct labor exclusively within the geographical boundaries of the United States or within the geographical boundaries of a country that is a party to the World Trade Organization Government Procurement Agreement. Those who propose to perform a portion of the direct labor outside of the United States and not within the geographical boundaries of a party to the World Trade Organization Government Procurement Agreement will receive a correspondingly smaller score for this criterion. In order to be eligible for any consideration for this criterion, suppliers must complete and sign the following certification. This certification will be included as a contractual obligation when the contract is executed. Failure to complete and sign this certification will result in no consideration being given to the supplier for this criterion.

I, Tim Lenning of CSG Government Solutions a Chicago, Illinois corporation or other legal entity, ("Contractor") located at 180 N. Stetson Ave., Suite 3200, having a Social Security or Federal Identification Number of 364150867, do hereby certify and represent to the Commonwealth of Pennsylvania ("Commonwealth") (Check one of the boxes below):

☐ All of the direct labor performed within the scope of services under the contract will be performed exclusively within the geographical boundaries of the United States or one of the following countries that is a party to the World Trade Organization Government Procurement Agreement: Aruba, Austria, Belgium, Bulgaria, Canada, Chinese Taipei, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hong Kong, Hungary, Iceland, Ireland, Israel, Italy, Japan, Korea, Latvia, Liechtenstein, Lithuania, Luxemburg, Malta, the Netherlands, Norway, Poland, Portugal, Romania, Singapore, Slovak Republic, Slovenia, Spain, Sweden, Switzerland, and the United Kingdom

OR

☒ One Hundred percent (100%) of the direct labor performed within the scope of services under the contract will be performed within the geographical boundaries of the United States or within the geographical boundaries of one of the countries listed above that is a party to the World Trade Organization Government Procurement Agreement. Please identify the direct labor performed under the contract that will be performed outside the United States and not within the geographical boundaries of a party to the World Trade Organization Government Procurement Agreement and identify the country where the direct labor will be performed: N/A

The Department of General Services shall treat any misstatement as fraudulent concealment of the true facts punishable under Section 4904 of the *Pennsylvania Crimes Code*, Title 18, of Pa. Consolidated Statutes.

Attest or Witness:

[redacted] 9/9/14

Christina Diaz, Office Administrator
Printed Name/Title

CHRISTINA M DIAZ
NOTARY PUBLIC
OFFICIAL SEAL
STATE OF ILLINOIS
MY COMMISSION EXPIRES
JULY 12, 2015

CSG Government Solutions
Corporate or Legal Entity's Name

[redacted] 9/9/2014
Signature/Date

Tim Lenning, Executive Vice President
Printed Name/Title

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A.2 RFQ Appendix D: Trade Secret/Confidential Proprietary Information Notice

CSG provides our completed RFP Appendix D, Trade Secret/Confidential Proprietary Information Notice, on the following pages.

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Master Information Technology (IT) Services Invitation to Qualify (ITQ) Contract
Trade Secret/Confidential Proprietary Information Notice
APPENDIX D

Instructions:

The Commonwealth may not assert on behalf of a third party an exception to the public release of materials that contain trade secrets or confidential proprietary information unless the materials are accompanied, at the time they are submitted, by this form or a document containing similar information.

It is the responsibility of the party submitting this form to ensure that all statements and assertions made below are legally defensible and accurate. The Commonwealth will not provide a submitting party any advice with regard to trade secret law.

Name of submitting party: CSG Government Solutions, Inc.

Contact information for submitting party:

Tim Lenning, Executive Vice President
180 N. Stetson Avenue, Suite 3200
Chicago, IL 60601
Phone: (312) 423-2111
Email: tlenning@csgdelivers.com

Please provide a brief overview of the materials that you are submitting (e.g. bid, grant application, technical schematics):

CSG is submitting a bid proposal for RFQ # 6100029898 to provide project management and IV&V services for the Commonwealth's UC Benefits Modernization project.

Please provide a brief explanation of why the materials are being submitted to the Commonwealth (e.g. response to bid #12345, application for grant XYZ being offered by the Department of Health, documents required to be submitted under law ABC)

CSG's proposal in response to RFQ # 6100029898 requires that we submit confidential financial information, project references that include client contact information, sample deliverables and work products from similar projects, and our emergency preparedness plan.

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Please provide a list detailing which portions of the material being submitted you believe constitute a trade secret or confidential proprietary information, and please provide an explanation of why you think those materials constitute a trade secret or confidential proprietary information. Also, please mark the submitted material in such a way to allow a reviewer to easily distinguish between the parts referenced below. (You may attach additional pages if needed)

Note: The following information will not be considered a trade secret or confidential proprietary information:

- Any information submitted as part of a vendor's cost bid
- Information submitted as part of a vendor's technical response that does not pertain to specific business practices or product specification
- Information submitted as part of a vendor's technical or small diverse business response that is otherwise publicly available or otherwise easily obtained
- Information detailing the name, quantity, and price paid for any product or service being purchased by the Commonwealth

Page Number	Description	Explanation
177-189	Client contact information included in Section 4.1.1, Relevant Project Descriptions	See attached pages.
211-324	Client contact information included in Section 5.1.4, Key Personnel Resumes	See attached pages.
329-353	Financial statements submitted in Section 7, Financial Capability	See attached pages.
354-366	Emergency Response and Continuity of Operations Plan submitted in Section 8, Emergency Preparedness	See attached pages.
380-388	Client contact information included in Appendix A.4	See attached pages.
402-417	Sample deliverables and work products from similar projects submitted in Appendix B, Sample Deliverables	See attached pages.

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Acknowledgment

The undersigned party hereby agrees that it has read and completed this form, and has marked the material being submitted in accordance with the instructions above. The undersigned party acknowledges that the Commonwealth is not liable for the use or disclosure of trade secret data or confidential proprietary information that has not been clearly marked as such, and which was not accompanied by a specific explanation included with this form.

The undersigned agrees to defend any action seeking release of the materials it believes to be trade secret or confidential, and indemnify and hold harmless the Commonwealth, its agents and employees, from any judgments awarded against the Commonwealth in favor of the party requesting the materials, and any and all costs connected with that defense. This indemnification survives so long as the Commonwealth has possession of the submitted material, and will apply to all costs unless and until the undersigned provides a written statement or similar notice to the Commonwealth stating that it no longer wishes to exempt the submitted material from public disclosure.

The undersigned acknowledges that the Commonwealth is required to keep all records for at least as long as specified in its published records retention schedule.

The undersigned acknowledges that the Commonwealth reserves the right to reject the undersigned's claim of trade secret/confidential proprietary information if the Commonwealth determines that the undersigned has not met the burden of establishing that the information constitutes a trade secret or is confidential. The undersigned also acknowledges that if only a certain part of the submitted material is found to constitute a trade secret or is confidential, the remainder of the submitted material will become public; only the protected information will be removed and remain nonpublic.

If being submitted electronically, the undersigned agrees that the mark below is a valid electronic signature.

[redacted] Executive Vice President 9/9/2014

Signature Title Date

Rev 07.23.2012

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Request for Trade Secret/Confidential Proprietary Information

CSG would like to request trade secret and/or confidential protection of our financial information, proprietary tools, and our client references, specifically the names and personal contact information of the persons who permitted us to name them as client references in this proposal. We believe that the following pages of our proposal documents qualify as exceptions from disclosure under the Pennsylvania Right-to-Know-Law, 65 P.S. Section 67.708(b)(11) and 67.708(b)(26). We request that these pages of our proposal documents not be disclosed, and we have provided a Redacted Version of our proposal with this information redacted.

Below is a brief justification of our requested exemptions.

Section 4.1.1 – Relevant Project Descriptions (pages 177-189)
Section 5.1.4 – Key Personnel Resumes (pages 211-324)
Appendix A.4 – RFQ Appendix G, Project References (page 380-388)

These pages contain the names, contact information, and business relationships of specific and special clients of CSG, our employees, and our subcontractors. We do not disclose this information for any purpose other than directly pursuing business with a potential client and with an explicit statement of confidentiality.

These clients permitted their names and other information "To-Be" used as references for this RFQ, with the expectation that they will not be exposed to third parties with unknown legal or commercial objectives.

The nature of CSG's business (as well as our competitors) demands that strong, trusted relationships are built with a limited number of clients. CSG has spent countless hours and millions of dollars over many years to discover these clients, determine and serve their needs, build ongoing business relationships with them, and earn their permission to use them as references. Their names and contact information, along with a description of their business and specific need for the type of services provided by CSG, is of the highest competitive value. The information is current, reliable, detailed and accurate. Such specific intelligence regarding sales prospects is earnestly sought by our competitors in order to pursue business with these clients. This information, with this depth and accuracy, would cost hundreds of thousands of dollars to acquire by other means, if it could be completely acquired at all.

Disclosure of this information would cause competitive disadvantage to CSG by providing to a competitor deep knowledge of business opportunities with CSG clients that are currently unknown to that competitor, along with names and contact information of specific prospects, solely at CSG's expense. Its disclosure could also harm CSG by damaging our most valuable business relationships in the event that our clients receive unsolicited and/or unwanted contact from a competitor or other parties.

This information meets the basic criteria for protection as a trade secret: It is a compilation of information that (i) derives independent economic value, actual or potential, from not being generally known to and not being readily ascertainable by proper means by, other persons who

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can obtain economic value from its disclosure or use; and (ii) is the subject of efforts that are reasonable under the circumstances to maintain its secrecy.

Section 7 – Financial Capability (pages 329-353)

CSG Government Solutions, Inc. is a privately held company and does not publish financial statements, except as required by law or by potential clients evaluating proposals. By protecting this information, CSG precludes competitors from using it to develop strategies in future direct competition with CSG. In addition, potential competitors can analyze our financial data to support their own decision-making about the profitability or other business advantages of entering or positioning themselves in our markets. Since we are not required to make this financial data public, disclosing it removes competitive advantages we rightfully possess as a privately held company by: (a) providing direct competitors with financial intelligence about CSG, and (b) providing potential competitors with valuable market data, without benefit to CSG.

This information meets the basic criteria for protection as a trade secret: It is a compilation of information that (i) derives independent economic value, actual or potential, from not being generally known to and not being readily ascertainable by proper means by, other persons who can obtain economic value from its disclosure or use; and (ii) is the subject of efforts that are reasonable under the circumstances to maintain its secrecy.

Section 8 – Emergency Preparedness (pages 354-366)

This material is classified as the confidential property of CSG. Due to the sensitive nature of the information contained herein, this information is available only to those persons who have been designated as plan participants, assigned membership to one of the CSG recovery teams, or who otherwise play a direct role in the recovery process. This information remains the property of CSG and may be repossessed at any time. Unauthorized use or duplication of this information is strictly prohibited.

This information meets the basic criteria for protection as a trade secret: It is a compilation of information that (i) derives independent economic value, actual or potential, from not being generally known to and not being readily ascertainable by proper means by, other persons who can obtain economic value from its disclosure or use; and (ii) is the subject of efforts that are reasonable under the circumstances to maintain its secrecy.

Appendix B – Sample Deliverables (pages 402-417)

These pages describe and contain the required confidential sample documents developed for specific and special clients of CSG. These sample work products and deliverables have been developed through the investment of thousands of hours of effort, and may not be solely owned by CSG. Disclosing this information could harm CSG by damaging our most valuable business relationships, and providing this information to a competitor would harm CSG by unfairly reducing our competitive advantage in similar projects being conducted around the country. Disclosing this information could also give a competitor the financial advantage of acquiring this valuable knowledge wholly at CSG's expense. Such knowledge would be

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extremely expensive to acquire by other means, and even more difficult to acquire quickly enough to keep up with the market.

This information meets the basic criteria for protection as a trade secret: It is a compilation of information that (i) derives independent economic value, actual or potential, from not being generally known to and not being readily ascertainable by proper means by, other persons who can obtain economic value from its disclosure or use; and (ii) is the subject of efforts that are reasonable under the circumstances to maintain its secrecy.

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A.3 RFQ Appendix F: Lobbying Certification Form

CSG provides our completed RFP Appendix F, Lobbying Certification Form, on the following pages.

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Master Information Technology (IT) Services Invitation to Qualify (ITQ) Contract
Lobbying Certification Form
APPENDIX F

Certification for Contracts, Grants, Loans, and Cooperative Agreements

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) 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.

(2) 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 of Lobbying Activities, in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients 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 under *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 such failure.

SIGNATURE: [redacted]

TITLE: Executive Vice President

DATE: 9/9/2014

Rev 03.15.2012

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A.4 RFQ Appendix G: Project References

CSG provides our completed RFP Appendix G, Project References, on the following pages for the projects listed below.

1. **Michigan Unemployment Insurance Agency** – Unemployment Insurance System Modernization Project Control Office (PCO)
2. **VMW (Vermont, Maryland, West Virginia) Consortium** – Unemployment Insurance Benefits / Tax / Appeals Requirements Development
3. **Illinois Department of Healthcare and Family Services** – Integrated Eligibility System (IES) Planning and Project Management Office

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A.5 RFQ Appendix H: Personnel Experience by Key Position

CSG provides our completed RFP Appendix H, Personnel Experience by Key Position, on the following pages.

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APPENDIX H
PERSONNEL EXPERIENCE BY KEY POSITION

POSITION (Include at least one row for all positions identified as Key Positions in II-6 of the RFQ, as well as any additional positions you've identified as integral to the work delineated in your proposal.)	PERSONNEL NAME (Identify by first/last name the person who will fulfill this position.)	COMMITMENT (Provide the percentage of this person's time to be committed to the proposed project.)	PERSONNEL EXPERIENCE			
			# YEARS PRIOR EXPERIENCE IN POSITION (List the number of years this person has acted in the same role on prior projects similar in nature to the proposed project.)	OTHER RELEVANT EXPERIENCE (Provide a brief narrative of other experience this person has had that may be relevant to his/her role in the proposed project.)	EDUCATION (List all postsecondary degrees completed for this person.)	OTHER PROFESSIONAL QUALIFICATIONS (List any certifications and/or professional memberships for this person that may be relevant to this position.)
Project Manager	Saralinda Bauer	100%	6 years	Experience in public sector programs, as both a state and private consulting employee. Experience facilitating large- and small-scale system implementations. Provided project management oversight and integration of the MEDES COTS system implementation utilizing PMBOK and Agile methodologies. Served as Business/Domain Analyst for the VTMDWV Consortium UI Benefits/Tax/Appeals Requirements Development Project for the states of Vermont, Maryland, and West Virginia. This project developed a set of individual state	Master of Social Work in Policy, Planning, and Administration Bachelor of Arts in Social Work	Project Management Professional (PMP)

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				requirements and a joint requirements repository for the three states that make up the consortium as part of the states' planning efforts for an overall UI tax and benefits modernization project.		
Project Scheduler	Varun Anand	100%	7 years	Experienced as a technology analyst providing quality assurance and quality control. Knowledgeable of the entire system development life cycle (SDLC). Performed schedule and quality management. Transformed IT strategy into a Project Management Office (PMO) environment. Utilizes project estimation techniques and both agile and waterfall project management methodologies. Performed development and interpretation of business requirements document (BRD), Functional Requirements Specifications (FRS), Use Cases and Requirements Traceability Matrix (RTM).	Master of Science in Engineering Management Bachelor of Engineering in Computer Science	Project Management Professional (PMP)
Business Architect	Fairy Curtis	100%	18 years	Leads CGS's internal UI refresh project, where she reviews best practices and use cases and makes recommendations for updates to the internal library. Supports CSG's project management and UI projects providing subject matter expertise. Over 5 years of experience in quality assurance		**Griffin Technical College**, Certificate in Accounting **University of Georgia, Carl Vinson Institute,** Executive Commitment to Excellence in

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				services. Over 15 years experience in government UI systems. 20 years of experience in systems analysis design and development. Served as the Lead Subject Matter Expert on the Southeastern Consortium Unemployment Benefits Integration Project Over five (5) years evaluating, recommending and implementing IT solutions.		Leadership (EXCEL) graduate
Policy Writer	Fairy Curtis	100%	18 years	Operates as a UI subject matter expert having 15 years of experience in the industry. 6 years of experience assisting in policy development for state Unemployment Insurance agencies Served as IV&V Business Analyst for the WyCAN UI Consortium IV&V and Quality Assurance Services Project		**Griffin Technical College**, Certificate in Accounting **University of Georgia, Carl Vinson Institute,** Executive Commitment to Excellence in Leadership (EXCEL) graduate
Infrastructure Architect	Korol Taylor	100%	10 years	Experienced with Independent Verification and Validation of UI systems. Over 15 years of experience in web development.	B.S. in Industrial Engineering	IBM Object Oriented Analysis Certification, IBM Enterprise Connectivity with Java

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				Served as architect on two recent multi-state UI initiatives. Experienced as a Database Administrator.		Technology Certification, SUN Certified Web Component Developer for J2EE Platform, SUN Certified Java Programmer
Integration/ Configuration Specialist	Korol Taylor	100%	12 years	Certified in UML and object oriented design principles. Experienced at risk analysis and mitigation.	B.S. in Industrial Engineering	IBM Object Oriented Analysis Certification, IBM Enterprise Connectivity with Java Technology Certification, SUN Certified Web Component Developer for J2EE Platform, SUN Certified Java Programmer
Source Code Auditor	Korol Taylor	100%	15 years	Experienced business process architect. Performed IV&V / QA services on multiple projects. Experienced with revision 3 of the NIST 800-53 security controls.	B.S. in Industrial Engineering, Northwestern University	IBM Object Oriented Analysis Certification, IBM Enterprise Connectivity with Java Technology Certification, SUN Certified Web Component Developer for J2EE Platform, SUN Certified Java Programmer

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Business Analyst	Neetha Karkala	100%	8 years	Served as Business Analyst/Technical Writer for the VMW (Vermont, Maryland, and West Virginia) Consortium UI and Tax Requirements Development Project, for which she developed and maintained the master spreadsheet for all high-level functional requirements and created a baseline requirements document, assisted in developing the Requirements Management Plan, and reviewed use cases and assisted in facilitating JAR sessions Extensive experience providing clear and concise written and verbal communications Experience conducting user interviews, one-on-one sessions with managers and critical stakeholders, and arranging JAR sessions	Bachelor of Science in Engineering	IBM Certified Deployment Professional The Business Systems Analysis Certificate (BSAC)
Business Analyst	Kristie Gardner	100%	12 years	Worked as UI Analyst, UI Tax System Support Analyst and Liability Examiner for the state of Michigan. Analyzed UI policies and procedures. Excellent communication skills; acts as liaison between government and unemployment agencies. Coordinated and led training sessions. Performed end user and acceptance testing.	Graduate Certificate in Strategic Management, Master of Science in General Administration, Bachelor of Science in Business Administration/ Information Systems Management	

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Technical Writer	Nisarg Gopinath Upadhyay	100%	7 years	Experienced with requirements gathering sessions; Developed and maintained requirements traceability matrices. Served as a quality analyst reviewing business process design and system verification and validation. Developed training materials and user documentation.	Master's in Business Administration (Finance) Bachelor of Science in Accounting and Auditing	
Technical Writer	Rajshree Koirala	100%	10 years	Experienced with quality review of functional and technical processes Developed use cases and functional requirements documents. Assisted with design of a database. Developed complex SQL queries and stored procedures to feed a dashboard application.	Masters in Business Administration (Finance) Masters in Sociology (Organization and Leadership) Bachelors in English	Six-Sigma, Kaizen events and Lean process improvement
Technical Advisor	Vijay Pandey	20%	16 years	Experienced as a Senior Testing Engineer and Chief Technology Advisor Experience leading and managing technical teams on various modules. Has developed Architecture and Design specifications Experience as an Enterprise Architect	Bachelor of Mechanical Engineering	Project Management Professional (PMP) Sun Certified Enterprise Architect (SCEA) for Java 2 Sun Certified Web Component Developer (SCWCD) from Sun

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				Has held various roles with responsibilities that included: Requirements Analysis, Prototype Development, Technical Design, Technical Architecture, Software Application Development and Testing on multiple company projects.		Oracle Certified Professional (OCP) 9i DBA tracks Sun Certified Java Programmer (SCJP2)
Technical Writer	Gayle Kohr	100%	10 years	Experienced in development of training materials. Developed web-based training courses. Has performed research and analysis for creation of storyboards and process flows. Developed system migration training. Performed system testing.	Masters in Adult Education Bachelors in Sociology, Minor in Psychology	
Solutions Architect	Narendra Yadav	100%	12 years	Experienced as a software developer Supported end user reporting needs using Business Objects. Experienced with performance tuning. Operates as a SME for IMBI (Information Management and Business Intelligence)	Bachelor of Engineering	Computer Science Courses: Data structures, Computer Networks, Compiler design, Algorithm design, Computer architecture, Operating systems, and Microprocessors and Micro-controllers.
Data Architect	Narendra Yadav	100%	6 years	Experienced in root cause analysis and making recommendations for remediation of data quality issues.	Bachelor of Engineering	Computer Science Courses: Data structures, Computer

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				Performed data analysis to translate business needs into long term information architecture solutions. Performed data management reviews. Experienced with Oracle 9i, 10g and 11g.		Networks, Compiler design, Algorithm design, Computer architecture, Operating systems, and Microprocessors and Micro-controllers.
ETL Specialist	Narendra Yadav	100%	6 years	Performed User Acceptance Testing. Expertise in Business Objects Enterprise products. Experienced in DataStage designer to load data from Oracle.	Bachelor of Engineering	Computer Science Courses: Data structures, Computer Networks, Compiler design, Algorithm design, Computer architecture, Operating systems, and Microprocessors and Micro-controllers.
Quality Assurance Manager	Bill Vacha	100% during System Implementation/ 50% during Post Implementation Warranty Period	7 years	Expertise in both software and business quality assurance Served as lead software engineer for a claims adjudication system. Extensive experience creating, tracking and maintaining test cases. Serves as an Intelligence Officer with top secret clearance for the United States Navy Reserve.	Masters in Business Administration Bachelors in Business Administration	Project Management Professional (PMP) IT Project+ Certified Professional
QA Architect	Troy Rutten	100%	15 years	Experienced in eliciting core issues and identifying strategies to address those issues.	B.A in Business and Organizational Leadership	Project Management Professional (PMP)

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				Excellent communication skills and is experienced with facilitating groups to actionable decisions. Over 10 years leading technology teams in workforce and UI solutions. Expertise in enterprise project management. Served as Chief Information Officer for four (4) years in Oregon. Participated as Applications Development Manager for six (6) years, with responsibility for all major applications within the department. Experienced in creating Requests for Proposal (RFP).		
Testing Technician	Vennela Padi	100%	8 years	Experienced as a quality assurance analyst and an ETL analyst. Utilizes Six Sigma standards in testing. Adept at mapping test scenarios to business requirements. Experienced with Oracle 9i/10g	Bachelors in Computer Science	
Usability Testing Specialist	Ramya Senthilkumar	100%	9 years	Developed complex SQL queries to extract data from an Oracle database. Over eight (8) years of experience performing quality assurance on information technology	Masters in Software Engineering (First Class)	

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				systems. Strong experience conducting gap analysis. Experienced with Oracle 9i/10g.		
Infrastructure Architect	Mark Daflucas	50%	20 years	20 years of experience as an architect and modeler on SDLC and QA/IV&V projects. Experienced in developing internet-based applications and interoperable service-oriented applications using the latest Internet, Application and Database technologies. Adept at CSG's internal Risk Assessment Models	Bachelors in Computer Science	Microsoft Certified Application Developer, Certified Information Systems Security Professional (CISSP)
Integration/ Configuration Specialist	Mark Daflucas	50%	11 years	Architected data services system to handle custom data feeds from 3rd party suppliers of property information; methods included plain text files, XML, web services and direct database-to-database transfers. Extensive experience with data modeling	Bachelors in Computer Science	Microsoft Certified Application Developer, Certified Information Systems Security Professional (CISSP)
Source Code Auditor	Mark Daflucas	50%	11 years	Certified in System Security Over 13 years of development experience in .Net, Java and C 20 years of experience on QA/IV&V projects Experienced in CSG's internal toolset - CSG REALize℠ UI Functional Requirements Baseline	Bachelors in Computer Science	Microsoft Certified Application Developer, Certified Information Systems Security Professional (CISSP)

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Testing Technician	Mark Daflucas	50%	18 years	Provided technology analysis and due diligence in support of organization's strategic business plan; defined R&D projects to understand identified technologies; trained developers in identified technologies.	Bachelors in Computer Science	Microsoft Certified Application Developer, Certified Information Systems Security Professional (CISSP)
Usability Testing Specialist	Mark Daflucas	50%	18 years	Experienced in development of modernized systems and migration of legacy data.	Bachelors in Computer Science	Microsoft Certified Application Developer, Certified Information Systems Security Professional (CISSP)

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APPENDIX B – SAMPLE DELIVERABLES

CSG has provided the following samples, illustrating similar deliverables from our recent UI modernization PMO projects to those being requested by the Commonwealth for the UC Benefits Modernization Project Management and IV&V Services project. The samples listed below have been provided on the following pages.

- **B.1** – Project Charter
- **B.2** – Project Management Plan
- **B.3** – Technical Assessment
- **B.4** – Technical Roadmap
- **B.5** – Detailed Requirements Document
- **B.6** – Requirements Traceability Matrix
- **B.7** – Finalized Statement of Work with all Appendices
- **B.8** – Finalized Documents for Contract
- **B.9** – IV&V Management Plan including All Assessment Reports and Updates
- **B.10** – Test Plans
- **B.11** – Use Cases
- **B.12** – Final Recommendation Report
- **B.13** – Meetings
- **B.14** – Status Reports
- **B.15** – Change Control Log

Each of these samples has been redacted to remove client specific information and abridged for length.

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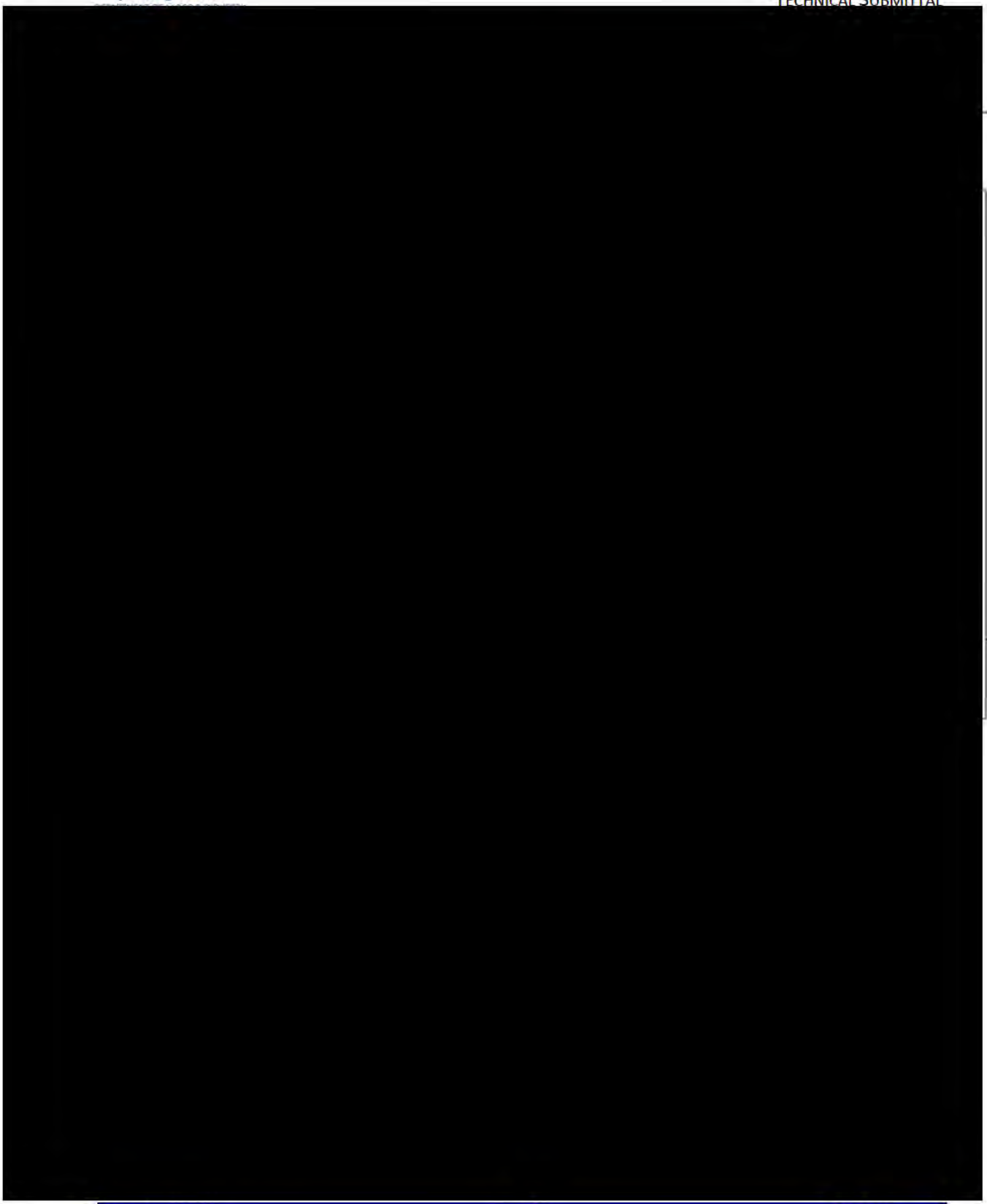

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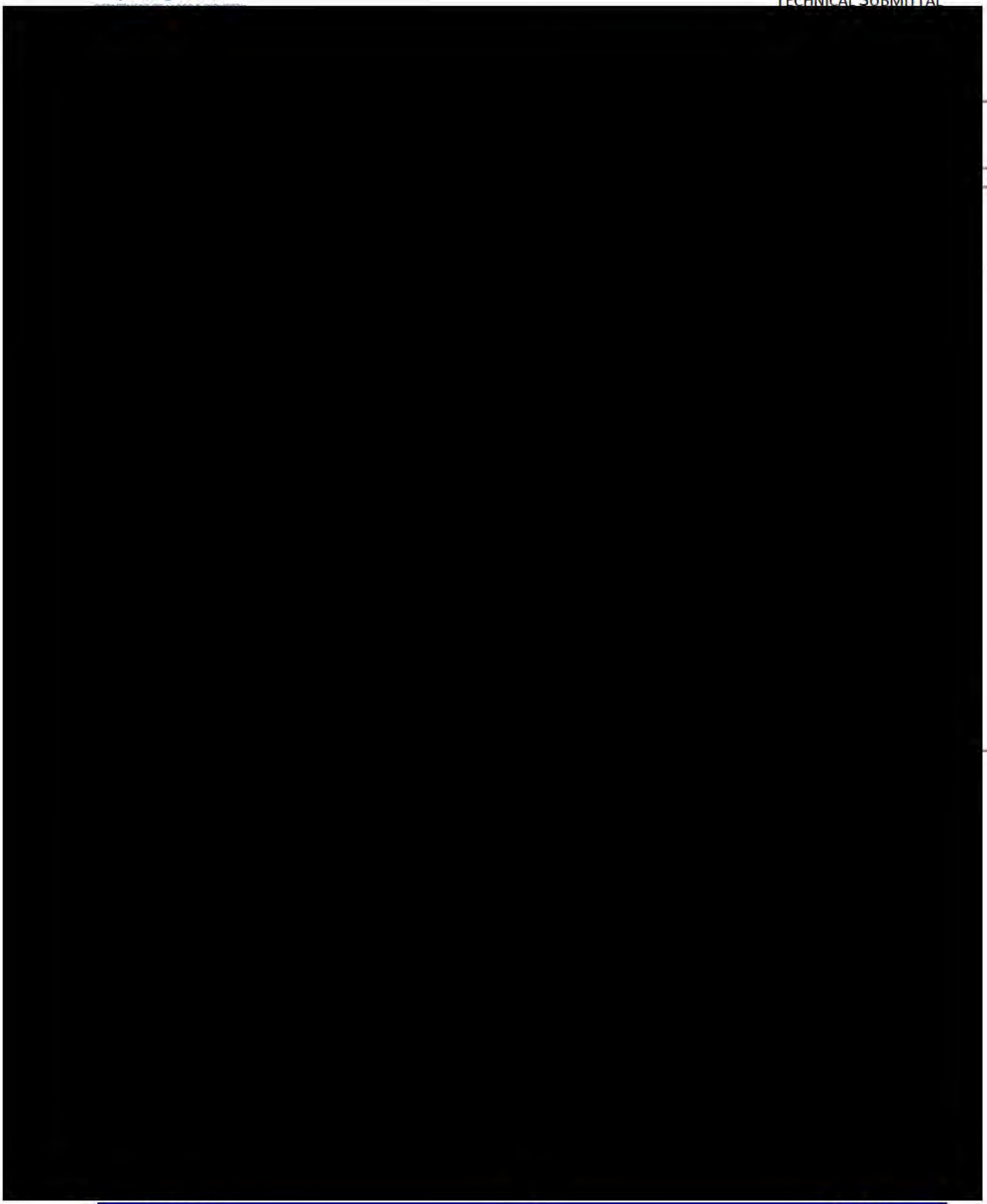

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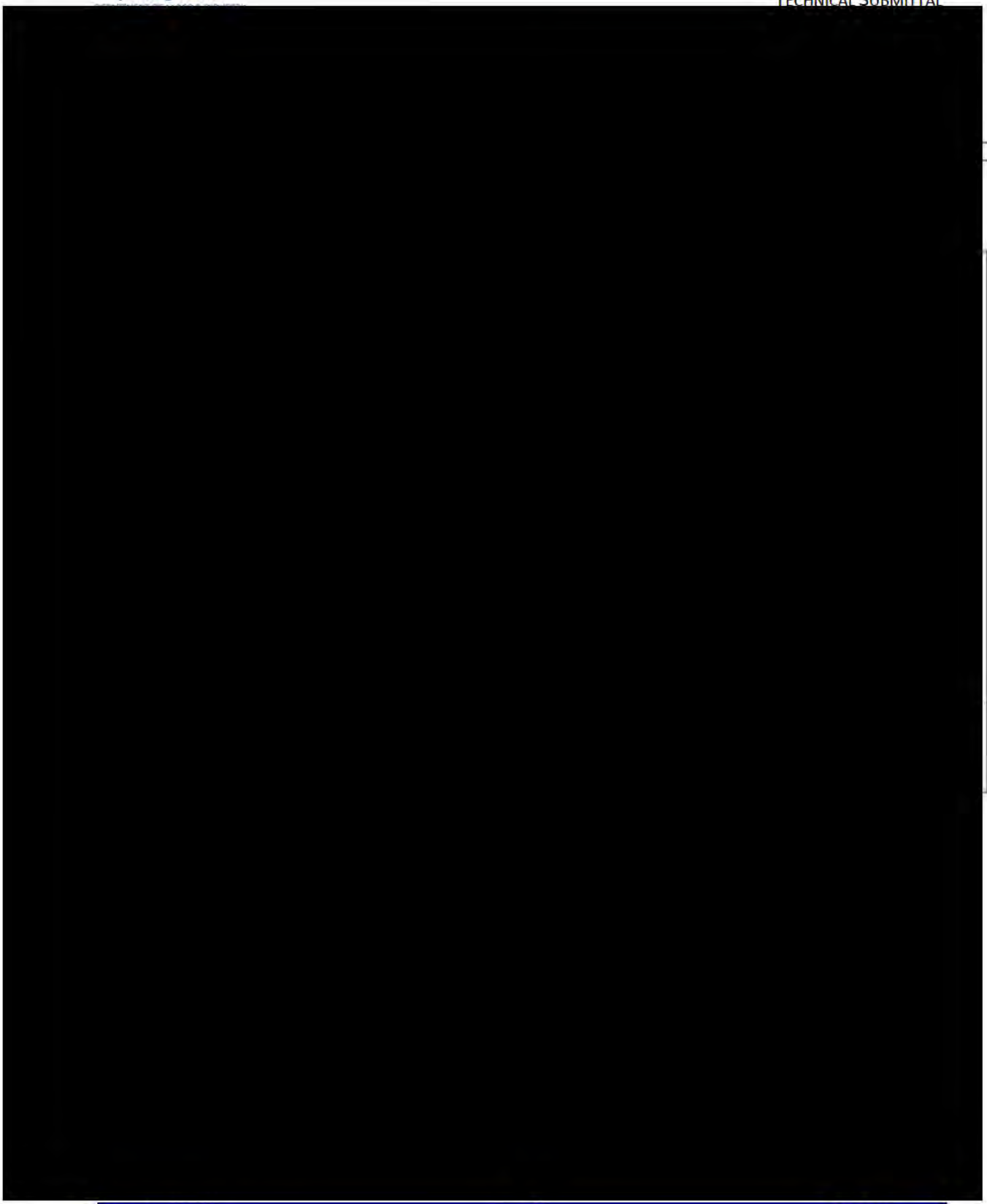

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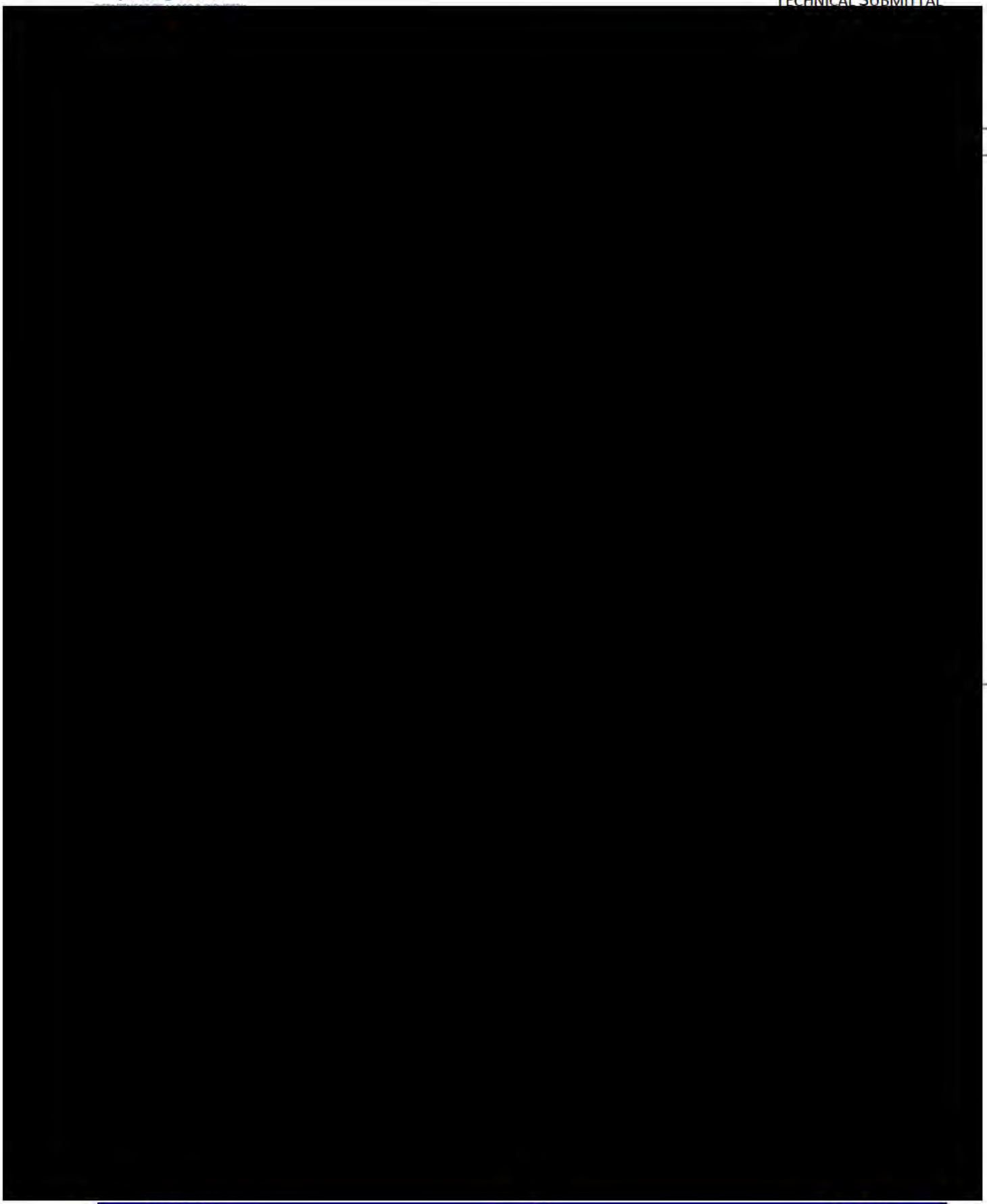

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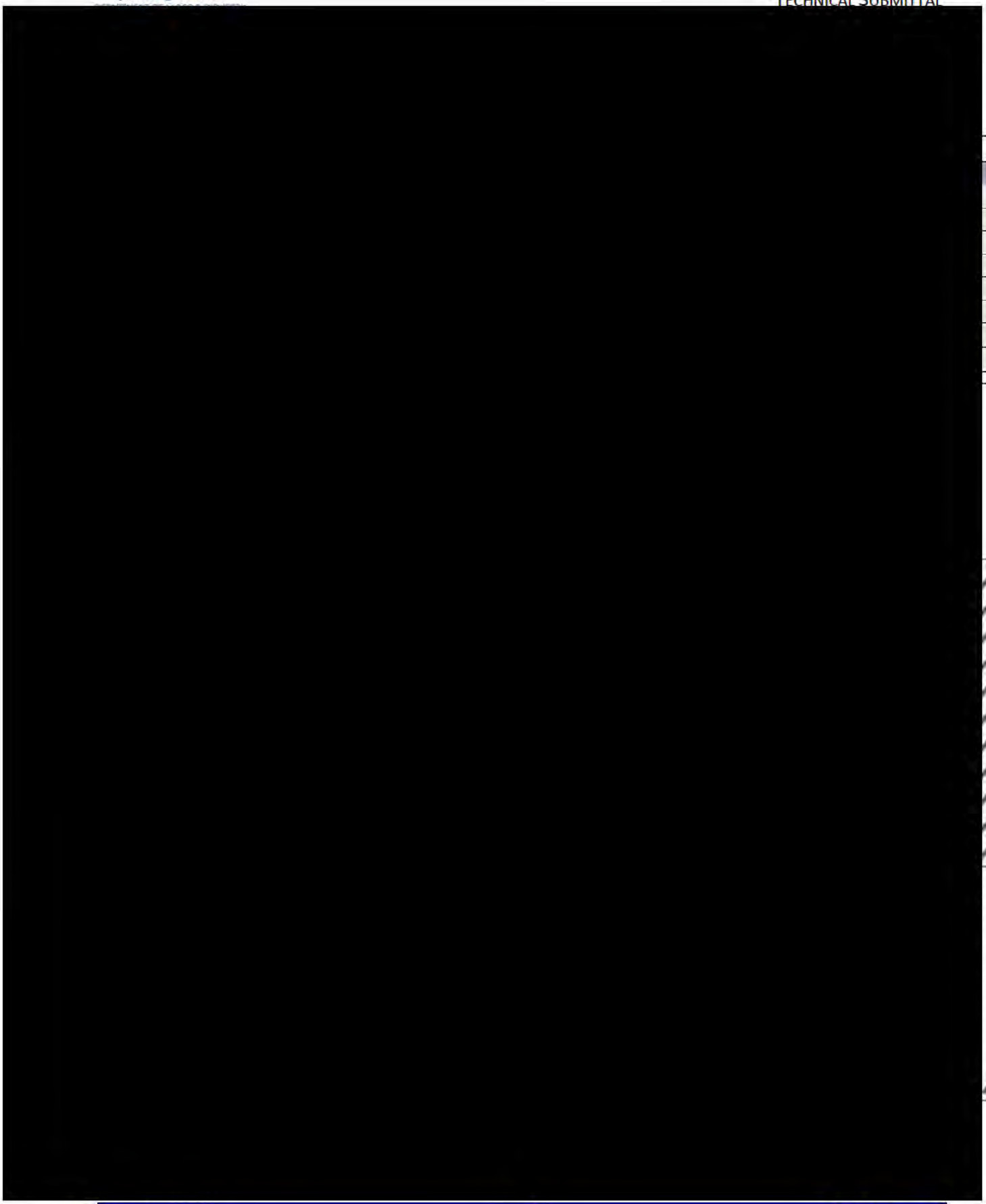

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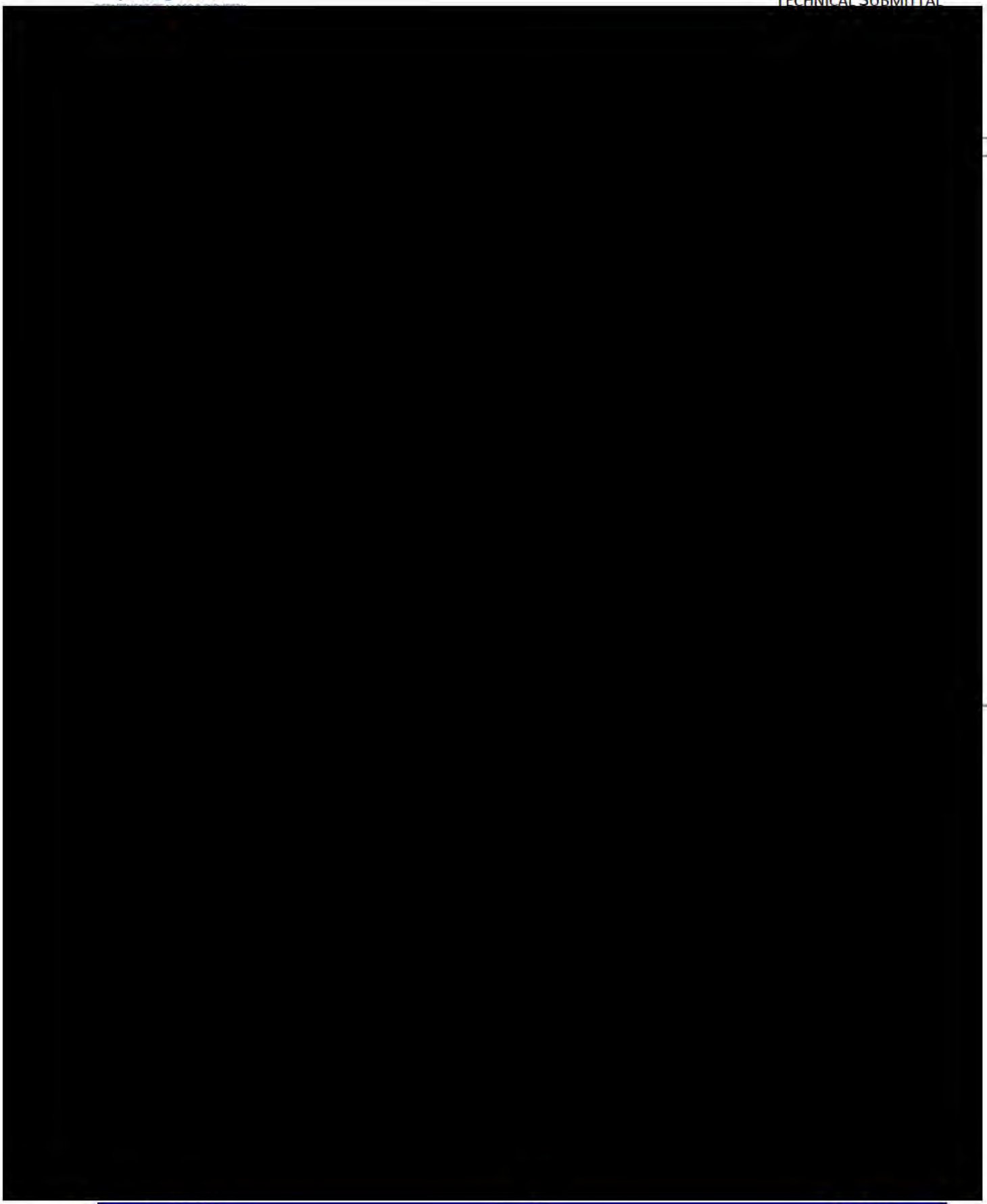

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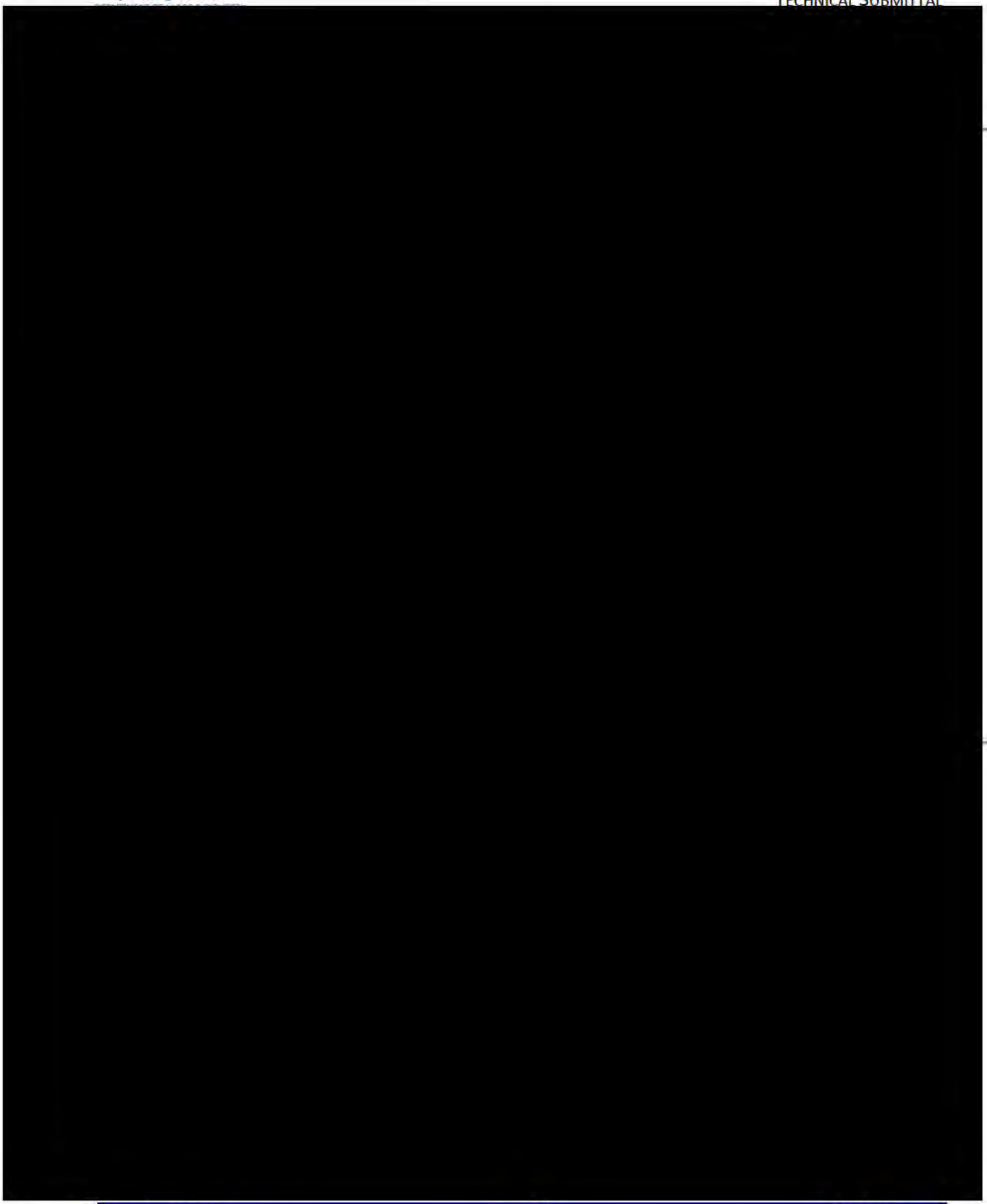

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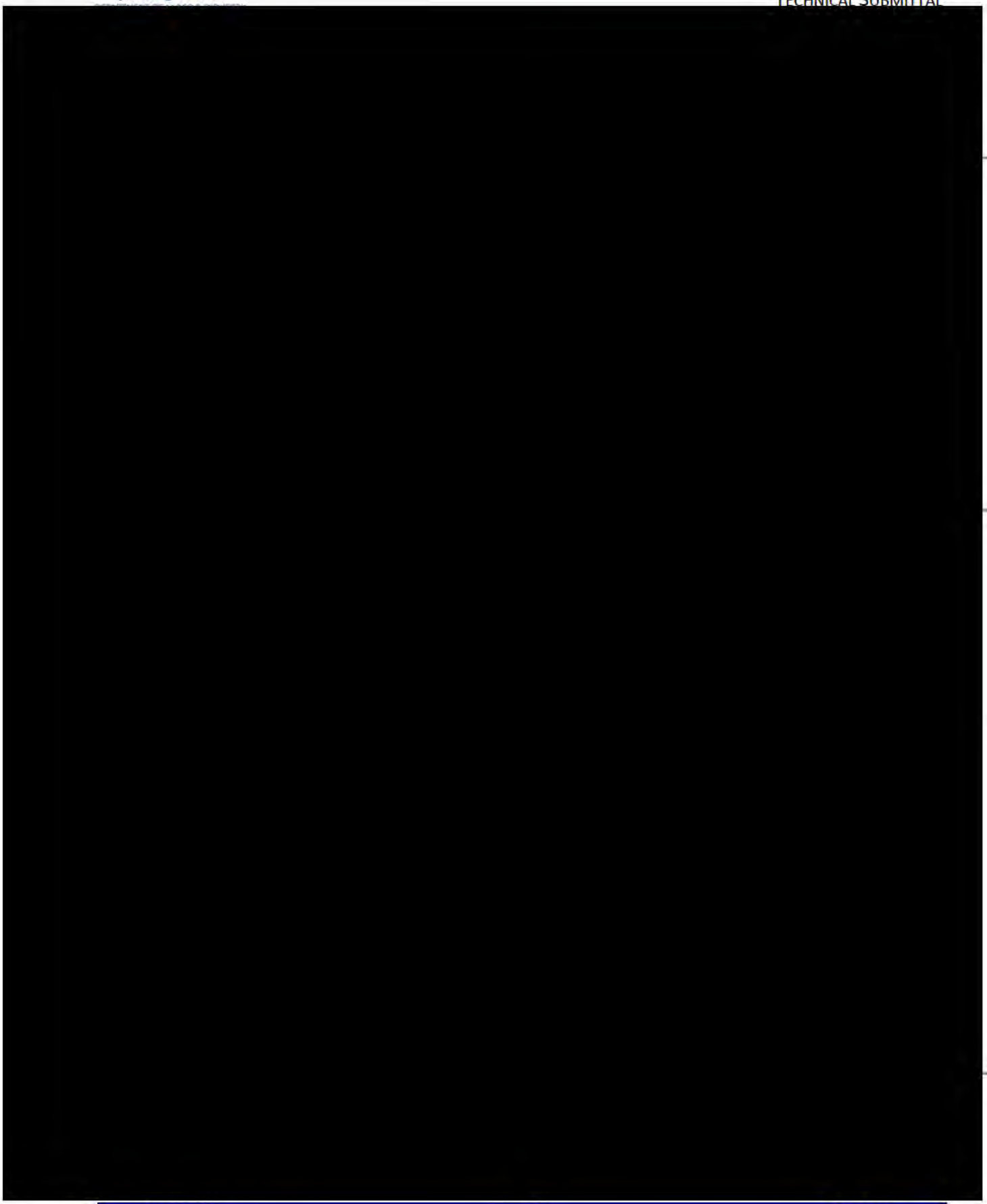

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UC BENEFITS MODERNIZATION PROJECT MANAGEMENT AND IV&V SERVICES

RFQ #6100029898

BAFO COST SUBMITTAL
NOVEMBER 5, 2014

CSG Government Solutions

180 N. Stetson
Suite 3200
Chicago, IL 60601

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1. BAFO COST SUBMITTAL

CSG provides our completed BAFO Cost Submittal, broken down into the components listed on Appendix C (Cost Matrix) on the following pages.

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1.1 Rate Card

Position	Hourly Rate
Project Manager	$183.00
Project Scheduler	$88.00
Business Architect	$168.00
Business Analyst	$138.00
Solutions Architect	$123.00
Data Architect	$123.00
Extract Transform Load (ETL) Specialist	$123.00
Infrastructure Architect	$168.00
Integration / Configuration Specialist	$143.00
Source code auditor	$128.00
Quality assurance architect	$170.00
Technical Writer	$94.00
Testing Technician	$100.00
Usability Testing Specialist	$85.00
Policy Writer	$158.00
Technical Writer	$89.00
Quality Assurance Manager	$170.00
Technical Analyst	$170.00
Technical Advisor	$196.00

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1.2 Deliverables Worksheet

Deliverable	Position	Hourly Rate	Hours	Cost
IV-4.A. Project Planning and Management. - Project Charter	Project Manager	$ 183.00	24	$ 4,392.00
	Project Scheduler	$ 88.00	16	$ 1,408.00
	Business Architect	$ 168.00		$ -
	Business Analyst	$ 138.00		$ -
	Solutions Architect	$ 123.00		$ -
	Data Architect	$ 123.00		$ -
	Extract Transform Load (ETL) Specialist	$ 123.00		$ -
	Infrastructure Architect	$ 168.00		$ -
	Integration / Configuration Specialist	$ 143.00		$ -
	Source code auditor	$ 128.00		$ -
	Quality assurance architect	$ 170.00		$ -
	Technical Writer	$ 94.00		$ -
	Testing Technician	$ 100.00		$ -
	Usability Testing Specialist	$ 85.00		$ -
	Policy Writer	$ 158.00		$ -
	Technical Writer	$ 89.00		$ -
	Quality Assurance Manager	$ 170.00		$ -
	Technical Analyst	$ 170.00		$ -
	Technical Advisor	$ 196.00		$ -
	0	$ -		$ -
IV-4.A. Project Planning and Management. - Project Management Plan (including all updates required during project)	Project Manager	$ 183.00	5,256	$ 961,848.00
	Project Scheduler	$ 88.00	5,264	$ 463,232.00
	Business Architect	$ 168.00	2,872	$ 482,496.00
	Business Analyst	$ 138.00		$ -
	Solutions Architect	$ 123.00	1,344	$ 165,312.00
	Data Architect	$ 123.00	384	$ 47,232.00
	Extract Transform Load (ETL) Specialist	$ 123.00	192	$ 23,616.00

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	Infrastructure Architect	$	168.00	2,424	$ 407,232.00
	Integration / Configuration Specialist	$	143.00	304	$ 43,472.00
	Source code auditor	$	128.00	304	$ 38,912.00
	Quality assurance architect	$	170.00		$ -
	Technical Writer	$	94.00		$ -
	Testing Technician	$	100.00		$ -
	Usability Testing Specialist	$	85.00		$ -
	Policy Writer	$	158.00	348	$ 54,984.00
	Technical Writer	$	89.00		$ -
	Quality Assurance Manager	$	170.00		$ -
	Technical Analyst	$	170.00		$ -
	Technical Advisor	$	196.00	1,024	$ 200,704.00
	0	$	-		$ -
IV-4.B. Pre-solicitation - Technical assessment document	Project Manager	$	183.00		$ -
	Project Scheduler	$	88.00		$ -
	Business Architect	$	168.00	296	$ 49,728.00
	Business Analyst	$	138.00		$ -
	Solutions Architect	$	123.00		$ -
	Data Architect	$	123.00		$ -
	Extract Transform Load (ETL) Specialist	$	123.00		$ -
	Infrastructure Architect	$	168.00	504	$ 84,672.00
	Integration / Configuration Specialist	$	143.00	52	$ 7,436.00
	Source code auditor	$	128.00	52	$ 6,656.00
	Quality assurance architect	$	170.00		$ -
	Technical Writer	$	94.00	80	$ 7,520.00
	Testing Technician	$	100.00		$ -
	Usability Testing Specialist	$	85.00		$ -
	Policy Writer	$	158.00	160	$ 25,280.00
	Technical Writer	$	89.00		$ -
	Quality Assurance Manager	$	170.00		$ -

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	Technical Analyst	$	170.00		$ -
	Technical Advisor	$	196.00		$ -
	0	$	-		$ -

IV-4.B. Pre-solicitation - Technical road map	Project Manager	$	183.00		$ -
	Project Scheduler	$	88.00		$ -
	Business Architect	$	168.00	360	$ 60,480.00
	Business Analyst	$	138.00		$ -
	Solutions Architect	$	123.00		$ -
	Data Architect	$	123.00		$ -
	Extract Transform Load (ETL) Specialist	$	123.00		$ -
	Infrastructure Architect	$	168.00	288	$ 48,384.00
	Integration / Configuration Specialist	$	143.00	40	$ 5,720.00
	Source code auditor	$	128.00	40	$ 5,120.00
	Quality assurance architect	$	170.00		$ -
	Technical Writer	$	94.00	360	$ 33,840.00
	Testing Technician	$	100.00		$ -
	Usability Testing Specialist	$	85.00		$ -
	Policy Writer	$	158.00		$ -
	Technical Writer	$	89.00		$ -
	Quality Assurance Manager	$	170.00		$ -
	Technical Analyst	$	170.00		$ -
	Technical Advisor	$	196.00		$ -
	0	$	-		$ -
IV-4.B. Pre-solicitation - Detailed requirements document and requirements traceability matrix	Project Manager	$	183.00		$ -
	Project Scheduler	$	88.00		$ -
	Business Architect	$	168.00		$ -
	Business Analyst	$	138.00	1,920	$ 264,960.00

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	Solutions Architect	$	123.00		$ -
	Data Architect	$	123.00		$ -
	Extract Transform Load (ETL) Specialist	$	123.00		$ -
	Infrastructure Architect	$	168.00		$ -
	Integration / Configuration Specialist	$	143.00		$ -
	Source code auditor	$	128.00		$ -
	Quality assurance architect	$	170.00		$ -
	Technical Writer	$	94.00	696	$ 65,424.00
	Testing Technician	$	100.00		$ -
	Usability Testing Specialist	$	85.00		$ -
	Policy Writer	$	158.00		$ -
	Technical Writer	$	89.00	1,120	$ 99,680.00
	Quality Assurance Manager	$	170.00		$ -
	Technical Analyst	$	170.00		$ -
	Technical Advisor	$	196.00		$ -
	0	$	-		$ -
IV-4.C. Solicitation and Procurement. - Finalized Statement of Work with all appendices	Project Manager	$	183.00		$ -
	Project Scheduler	$	88.00		$ -
	Business Architect	$	168.00	884	$ 148,512.00
	Business Analyst	$	138.00		$ -
	Solutions Architect	$	123.00		$ -
	Data Architect	$	123.00		$ -
	Extract Transform Load (ETL) Specialist	$	123.00		$ -
	Infrastructure Architect	$	168.00	720	$ 120,960.00
	Integration / Configuration Specialist	$	143.00	96	$ 13,728.00
	Source code auditor	$	128.00	96	$ 12,288.00
	Quality assurance architect	$	170.00		$ -
	Technical Writer	$	94.00	224	$ 21,056.00
	Testing Technician	$	100.00		$ -
	Usability Testing Specialist	$	85.00		$ -

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	Policy Writer	$	158.00		$ -
	Technical Writer	$	89.00		$ -
	Quality Assurance Manager	$	170.00		$ -
	Technical Analyst	$	170.00		$ -
	Technical Advisor	$	196.00		$ -
	0	$	-		$ -
IV-4.C. Solicitation and Procurement. - Finalized documents for Contract	Project Manager	$	183.00		$ -
	Project Scheduler	$	88.00		$ -
	Business Architect	$	168.00	160	$ 26,880.00
	Business Analyst	$	138.00		$ -
	Solutions Architect	$	123.00		$ -
	Data Architect	$	123.00		$ -
	Extract Transform Load (ETL) Specialist	$	123.00		$ -
	Infrastructure Architect	$	168.00	128	$ 21,504.00
	Integration / Configuration Specialist	$	143.00	16	$ 2,288.00
	Source code auditor	$	128.00	16	$ 2,048.00
	Quality assurance architect	$	170.00		$ -
	Technical Writer	$	94.00		$ -
	Testing Technician	$	100.00		$ -
	Usability Testing Specialist	$	85.00		$ -
	Policy Writer	$	158.00		$ -
	Technical Writer	$	89.00		$ -
	Quality Assurance Manager	$	170.00		$ -
	Technical Analyst	$	170.00		$ -
	Technical Advisor	$	196.00		$ -
	0	$	-		$ -
IV-4.D. Optional Implementation Oversight. - Test Plans	Project Manager	$	183.00		$ -
	Project Scheduler	$	88.00		$ -
	Business Architect	$	168.00		$ -

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	Business Analyst	$ 138.00		$	-
	Solutions Architect	$ 123.00		$	-
	Data Architect	$ 123.00		$	-
	Extract Transform Load (ETL) Specialist	$ 123.00		$	-
	Infrastructure Architect	$ 168.00		$	-
	Integration / Configuration Specialist	$ 143.00		$	-
	Source code auditor	$ 128.00		$	-
	Quality assurance architect	$ 170.00		$	-
	Technical Writer	$ 94.00		$	-
	Testing Technician	$ 100.00	360	$	36,000.00
	Usability Testing Specialist	$ 85.00	120	$	10,200.00
	Policy Writer	$ 158.00		$	-
	Technical Writer	$ 89.00		$	-
	Quality Assurance Manager	$ 170.00		$	-
	Technical Analyst	$ 170.00		$	-
	Technical Advisor	$ 196.00		$	-
	0	$ -		$	-
IV-4.D. Optional Implementation Oversight. - Use Cases	Project Manager	$ 183.00		$	-
	Project Scheduler	$ 88.00		$	-
	Business Architect	$ 168.00		$	-
	Business Analyst	$ 138.00		$	-
	Solutions Architect	$ 123.00		$	-
	Data Architect	$ 123.00		$	-
	Extract Transform Load (ETL) Specialist	$ 123.00		$	-
	Infrastructure Architect	$ 168.00		$	-
	Integration / Configuration Specialist	$ 143.00		$	-
	Source code auditor	$ 128.00		$	-
	Quality assurance architect	$ 170.00		$	-
	Technical Writer	$ 94.00		$	-
	Testing Technician	$ 100.00	400	$	40,000.00

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	Usability Testing Specialist	$	85.00	640	$ 54,400.00
	Policy Writer	$	158.00		$ -
	Technical Writer	$	89.00		$ -
	Quality Assurance Manager	$	170.00		$ -
	Technical Analyst	$	170.00		$ -
	Technical Advisor	$	196.00		$ -
	0	$	-		$ -
IV-4.D. Optional Implementation Oversight. - IV&V Management Plan including all assessment reports and updates	Project Manager	$	183.00		$ -
	Project Scheduler	$	88.00		$ -
	Business Architect	$	168.00		$ -
	Business Analyst	$	138.00		$ -
	Solutions Architect	$	123.00		$ -
	Data Architect	$	123.00		$ -
	Extract Transform Load (ETL) Specialist	$	123.00		$ -
	Infrastructure Architect	$	168.00		$ -
	Integration / Configuration Specialist	$	143.00		$ -
	Source code auditor	$	128.00		$ -
	Quality assurance architect	$	170.00	2,760	$ 469,200.00
	Technical Writer	$	94.00		$ -
	Testing Technician	$	100.00		$ -
	Usability Testing Specialist	$	85.00		$ -
	Policy Writer	$	158.00		$ -
	Technical Writer	$	89.00		$ -
	Quality Assurance Manager	$	170.00	3,608	$ 613,360.00
	Technical Analyst	$	170.00	2,520	$ 428,400.00
	Technical Advisor	$	196.00		$ -
	0	$	-		$ -
IV-4.D. Optional Implementation Oversight. - Final Recommendation report	Project Manager	$	183.00		$ -
	Project Scheduler	$	88.00		$ -

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	Business Architect	$	168.00		$ -
	Business Analyst	$	138.00		$ -
	Solutions Architect	$	123.00		$ -
	Data Architect	$	123.00		$ -
	Extract Transform Load (ETL) Specialist	$	123.00		$ -
	Infrastructure Architect	$	168.00		$ -
	Integration / Configuration Specialist	$	143.00		$ -
	Source code auditor	$	128.00		$ -
	Quality assurance architect	$	170.00		$ -
	Technical Writer	$	94.00		$ -
	Testing Technician	$	100.00		$ -
	Usability Testing Specialist	$	85.00		$ -
	Policy Writer	$	158.00		$ -
	Technical Writer	$	89.00		$ -
	Quality Assurance Manager	$	170.00	352	$ 59,840.00
	Technical Analyst	$	170.00		$ -
	Technical Advisor	$	196.00		$ -
	0	$	-		$ -

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IV-4.D. Optional Implementation Oversight. - Finalized documents for Contract	Project Manager	$	183.00		$ -
	Project Scheduler	$	88.00		$ -
	Business Architect	$	168.00		$ -
	Business Analyst	$	138.00		$ -
	Solutions Architect	$	123.00		$ -
	Data Architect	$	123.00		$ -
	Extract Transform Load (ETL) Specialist	$	123.00		$ -
	Infrastructure Architect	$	168.00		$ -
	Integration / Configuration Specialist	$	143.00		$ -
	Source code auditor	$	128.00		$ -
	Quality assurance architect	$	170.00		$ -
	Technical Writer	$	94.00		$ -
	Testing Technician	$	100.00		$ -
	Usability Testing Specialist	$	85.00		$ -
	Policy Writer	$	158.00		$ -
	Technical Writer	$	89.00		$ -
	Quality Assurance Manager	$	170.00		$ -
	Technical Analyst	$	170.00		$ -
	Technical Advisor	$	196.00		$ -
	0	$	-		$ -

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1.3 Cost Summary

Task/Phase	Deliverable	Total Hours	Total Cost
IV-4.A. Project Planning and Management.	Project Charter	40	$5,800.00
	Project Management Plan (including all updates required during project)	19,716	$2,889,040.00
		19,756	$2,894,840.00
IV-4.B. Pre-solicitation	Technical assessment document	1,144	$181,292.00
	Technical road map	1,088	$153,544.00
	Detailed requirements document and requirements traceability matrix	3,736	$430,064.00
		5,968	$764,900.00
IV-4.C. Solicitation and Procurement.	Finalized Statement of Work with all appendices	2,020	$316,544.00
	Finalized documents for Contract	320	$52,720.00
		2,340	$369,264.00
Total Deliverable Cost (excluding Optional Implementation Oversight)			**$4,029,004.00**
Total Deliverable Hours (excluding Optional Implementation Oversight)			**28,064**
IV-4.D. Optional Implementation Oversight.	Test Plans	480	$46,200.00
	Use Cases	1,040	$94,400.00
	IV&V Management Plan including all assessment reports and updates	8,888	$1,510,960.00
	Final Recommendation report	352	$59,840.00
	Finalized documents for Contract	0	$ -
		10,760	$1,711,400.00

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Total Deliverable Cost (including Optional Implementation Oversight)	**$5,740,404.00**
Total Deliverable Hours (including Optional Implementation Oversight)	**38,824**

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UC BENEFITS MODERNIZATION PROJECT MANAGEMENT AND IV&V SERVICES

RFQ #6100029898

NEGOTIATED PROPOSED PAYMENT SCHEDULE

JANUARY 25, 2015

CSG Government Solutions

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1.1 Payment Schedule (Excluding Optional Implementation Oversight) 1
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1. PROPOSED PAYMENT SCHEDULE

CSG provides our proposed payment schedule in the table below.

1.1 Payment Schedule (Excluding Optional Implementation Oversight)

Payment	Anticipated Due Date	Amount
Project Charter	4/8/2015	$5,800
Project Management Plan Payment # 1	5/31/2015	$264,040
Request For Information	6/18/2015	$55,104
Project Management Plan Payment # 2	8/31/2015	$262,500
Technical assessment document	9/8/2015	$126,188
Detailed requirements document and requirements traceability matrix	10/8/2015	$430,064
Technical road map	10/14/2015	$153,544
Finalized Statement of Work with all appendices	11/13/2015	$316,544
Project Management Plan Payment # 3	11/30/2015	$262,500
Project Management Plan Payment # 4	2/29/2016	$262,500
Finalized documents for Contract	5/12/2016	$52,720
Project Management Plan Payment # 5	5/31/2016	$262,500
Project Management Plan Payment # 6	8/31/2016	$262,500
Project Management Plan Payment # 7	11/30/2016	$262,500
Project Management Plan Payment # 8	2/28/2017	$262,500

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Payment	Anticipated Due Date	Amount
Project Management Plan Payment # 9	5/31/2017	$262,500
Project Management Plan Payment # 10	8/31/2017	$262,500
Project Management Plan Payment # 11	11/30/2017	$262,500
Total (Excluding Optional Implementation Oversight)		**$4,029,004**

1.2 Optional Implementation Oversight

Payment	Anticipated Due Date	Amount
IV&V Management Plan including all assessment reports and updates Payment #1	6/30/2016	$68,000
IV&V Management Plan including all assessment reports and updates Payment #2	7/31/2016	$68,000
IV&V Management Plan including all assessment reports and updates Payment #3	8/31/2016	$68,000
IV&V Management Plan including all assessment reports and updates Payment #4	9/30/2016	$68,000
IV&V Management Plan including all assessment reports and updates Payment #5	10/31/2016	$68,000
IV&V Management Plan including all assessment reports and updates Payment #6	11/30/2016	$68,000

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Payment	Anticipated Due Date	Amount
IV&V Management Plan including all assessment reports and updates Payment #7	12/31/2016	$68,000
IV&V Management Plan including all assessment reports and updates Payment #8	1/31/2017	$68,000
IV&V Management Plan including all assessment reports and updates Payment #9	2/28/2017	$68,000
IV&V Management Plan including all assessment reports and updates Payment #10	3/31/2017	$68,000
IV&V Management Plan including all assessment reports and updates Payment #11	4/30/2017	$68,000
IV&V Management Plan including all assessment reports and updates Payment #12	5/31/2017	$68,000
IV&V Management Plan including all assessment reports and updates Payment #13	6/30/2017	$45,900
IV&V Management Plan including all assessment reports and updates Payment #14	7/31/2017	$45,900
IV&V Management Plan including all assessment reports and updates Payment #15	8/31/2017	$45,900
Test Plans	9/6/2017	$46,200
Use Cases	9/6/2017	$94,400
IV&V Management Plan including all assessment reports and updates Payment #16	9/30/2017	$45,900
IV&V Management Plan including all assessment reports and updates Payment #17	10/31/2017	$45,900

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Payment	Anticipated Due Date	Amount
IV&V Management Plan including all assessment reports and updates Payment #18	11/30/2017	$45,900
IV&V Management Plan including all assessment reports and updates Payment #19	12/31/2017	$45,900
IV&V Management Plan including all assessment reports and updates Payment #20	1/31/2018	$45,900
IV&V Management Plan including all assessment reports and updates Payment #21	2/28/2018	$45,900
IV&V Management Plan including all assessment reports and updates Payment #22	3/31/2018	$45,900
IV&V Management Plan including all assessment reports and updates Payment #23	4/30/2018	$45,900
IV&V Management Plan including all assessment reports and updates Payment #24	5/31/2018	$45,900
IV&V Management Plan including all assessment reports and updates Payment #25	6/30/2018	$18,020
IV&V Management Plan including all assessment reports and updates Payment #26	7/31/2018	$18,020
IV&V Management Plan including all assessment reports and updates Payment #27	8/31/2018	$18,020
IV&V Management Plan including all assessment reports and updates Payment #28	9/30/2018	$18,020
IV&V Management Plan including all assessment reports and updates Payment #29	10/31/2018	$18,020

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Payment	Anticipated Due Date	Amount
IV&V Management Plan including all assessment reports and updates Payment #30	11/30/2018	$18,020
IV&V Management Plan including all assessment reports and updates Payment #31	12/31/2018	$18,020
Final Recommendation report	12/31/2018	$59,840
IV&V Management Plan including all assessment reports and updates Payment #32	1/31/2019	$18,020
Total (Optional Implementation Oversight)		**$1,711,400**

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COMMONWEALTH OF PENNSYLVANIA

DEPARTMENT OF LABOR AND INDUSTRY

UC BENEFITS MODERNIZATION PROJECT MANAGEMENT AND IV&V SERVICES

RFQ #6100029898

BAFO SMALL DIVERSE BUSINESS (SDB) PARTICIPATION SUBMITTAL

NOVEMBER 5, 2014

CSG Government Solutions

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1. SMALL DIVERSE BUSINESS VERIFICATION LETTERS

1.1 Logic House Ltd.

NOTICE OF SMALL BUSINESS SELF-CERTIFICATION AND SMALL DIVERSE BUSINESS VERIFICATION

pennsylvania
DEPARTMENT OF GENERAL SERVICES

The Department is pleased to announce that

LOGIC HOUSE LTD.

has successfully completed the Pennsylvania Department of General Services' process for self-certification as a small business under the Commonwealth's Small Business Procurement Initiative as established by Executive Order No. 2011-09, and is verified as a Small Diverse Business with the following designation(s):

BUSINESS TYPE(s): **Procurement Services, Information Technology**

CERTIFICATION NUMBER: **364904-2012-08-SB-WBE**

ISSUE DATE: **08/31/2012** EXPIRATION DATE: **08/31/2015**

RECERTIFIED DATE: **8/5/2014**

[redacted]

Sheri Phillips, Secretary
Department of General Services
Commonwealth of Pennsylvania

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1.2 Intueor Consulting, Inc.

NOTICE OF SMALL BUSINESS SELF-CERTIFICATION AND SMALL DIVERSE BUSINESS VERIFICATION

pennsylvania
DEPARTMENT OF GENERAL SERVICES

The Department is pleased to announce that

INTUEOR CONSULTING INC.

has successfully completed the Pennsylvania Department of General Services' process for self-certification as a small business under the Commonwealth's Small Business Procurement Initiative as established by Executive Order No. 2011-09, and is verified as a Small Diverse Business with the following designation(s):

BUSINESS TYPE(s): **Information Technology**

CERTIFICATION NUMBER: **426250-2014-08-SB-MBE**

ISSUE DATE: **08/10/2014** EXPIRATION DATE: **08/10/2015**

[redacted]

Department of General Services
Commonwealth of Pennsylvania

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2. SMALL DIVERSE BUSINESS PARTICIPATION

CSG provides the information regarding the participation of our Small Diverse Business Partners, Logic House, Ltd. and Intueor Consulting, Inc. on the following pages.

- Logic House Ltd. was incorporated in the Commonwealth of Pennsylvania in April 1990. They have been providing Information Technology consulting services and staff augmentation hourly based services for over 24 years. Logic House is a certified WBE in Pennsylvania, and is also nationally certified by the Woman Business Enterprise National Council (WBENC).

- Intueor Consulting, Inc. is a strategy, operations and business technology consulting firm, that specializes in enabling Public Sector agencies maximize business value to their constituents, through sustainable business transformation. Intueor was incorporated in the State of California and has consultants across the country, who collectively offer hundreds of years of world-class management consulting expertise to support transformative programs undertaken by Public Sector Agencies.

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Requirement	CSG Response
1. Numerical percentage which represents the total percentage of the work (as a percentage of the total cost in the Cost Submittal) to be performed by CSG Government Solutions, Inc. and not by subcontractors and suppliers.	CSG total percentage = 79.34%
2. Numerical percentage which represents the total percentage of the total cost in the Cost Submittal that the Contractor commits to paying to Small Diverse Businesses (SDBs) as subcontractors.	Logic House total percentage = 16.85% Intueor total percentage = 3.81%
a) The percentage and dollar amount of each subcontract commitment to a SDB;	Logic House dollar amount = $678,880 Intueor dollar amount = $153,600
b) The name of each SDB. The Contractor will not receive credit for stating that after the contract is awarded it will find a SDB.	Logic House, Ltd. Intueor Consulting, Inc.
c) The services or supplies each SDB will provide, including the timeframe for providing the services or supplies.	Logic House will provide technical and business analysis, technical writing, and project schedule management services to support our project team throughout the project life cycle. Intueor will provide technical architecture, solution evaluation, and planning advisory services to assist in PMO requirements development and management and solicitation activities. Supports our project team throughout the project life cycle.
d) The location where each SDB will perform services.	Harrisburg, PA and remote
e) The timeframe for each SDB to provide or deliver the goods or services.	PMO Services: 10/27/14 – 8/4/17 Optional Implementation Oversight Services: 1/8/16 – 9/7/18
f) A signed subcontract or letter of intent for each SDB. The subcontract or letter of intent must identify the specific work, goods or services the SDB will perform and how the work, goods or services relate to the project.	Please see Section 3 below for a copy of the signed Appendix I, Small Diverse Business, Letter of Intent for both Logic House and Intueor.

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Requirement	CSG Response
g) The name, address and telephone number of the primary contact person for each SDB.	**Logic House:** Keith House Vice President 121 Country Club Lane Sugarloaf, PA, 18249 (310) 871 – 2790 **Intueor:** Ravi Nandivada Director of Consulting Services 7700 Irvine Center Drive, Suite 470 Irvine, CA, 92618 (949) 394 – 4163

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3. SMALL DIVERSE BUSINESS, LETTER OF INTENT (APPENDIX I)

CSG provides the Small Diverse Business (SDB), Letters of Intent for our SBD Partners on the following pages, in the order listed below.

- Logic House Ltd.
- Intueor Consulting, Inc.

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SMALL DIVERSE BUSINESS
LETTER OF INTENT
APPENDIX I

Friday, October 31, 2014

Keith House
Vice President
Logic House
121 Country Club Lane
Sugarloaf, PA, 18249

Dear Keith:

This letter serves as confirmation of the intent of CSG Government Solutions to utilize Logic House on RFQ number 6100029898, UC Benefit Modernization Project Management and IV&V Services issued by the Department of Labor and Industry.

If CSG Government Solutions is the successful vendor, Logic House shall provide qualified project scheduler, technical writer, and solutions architect/data architect/ETL specialist resources to provide technical and business analysis, technical writing, and project schedule management services to assist in PMO, requirements development and management, and solicitation activities in support of the Project Planning and Management, Pre-Solicitation, and Solicitation and Procurement. If CSG is awarded the Optional Implementation Oversight services, Logic House will provide additional Testing Technician and Usability Testing Specialist resources to complete the required services, as specified in the RFQ. Logic House will provide these services for the initial 3-year term of the contract, and the optional 2-year renewal period.

These services represent 16.85 percent of the total cost in the CSG Government Solutions' cost submittal for the initial term of the purchase order. Dependent on final negotiated pricing and actual usage or volume, it is expected that Logic House will receive an estimated $678,880 during the initial purchase order term.

Logic House represents that it meets the small diverse business requirements set forth in the RFQ and all required documentation has been provided to CSG Government Solutions for its SDB submission.

We look forward to the opportunity to serve the Department of Labor and Industry on this project. If you have any questions concerning our small diverse business commitment, please feel free to contact me at the number below.

Sincerely,

[redacted]

Executive Vice President
CSG Government Solutions
(312) 444-2760

Acknowledged

[redacted]

Keith House
Vice President
Logic House
(310) 871-2790

SMALL DIVERSE BUSINESS
LETTER OF INTENT
APPENDIX I

Friday, October 31, 2014

Ravi Nandivada
Director of Consulting Services
Intueor Consulting, Inc.
7700 Irvine Center Drive, Suite 470
Irvine, CA, 92618

Dear Ravi:

This letter serves as confirmation of the intent of CSG Government Solutions to utilize Intueor on RFQ number 6100029898, UC Benefit Modernization Project Management and IV&V Services issued by the Department of Labor and Industry.

If CSG Government Solutions is the successful vendor, Intueor shall provide a qualified technical advisor resource to assist in technical architecture, solution evaluation, and planning advisory services for the PMO, requirements development and management, and solicitation activities in support of the Project Planning and Management, Pre-Solicitation, and Solicitation and Procurement. If CSG is awarded the Optional Implementation Oversight services, Intueor will provide additional qualified resources to complete the required services, as specified in the RFQ. Intueor will provide these services for the initial 3-year term of the contract, and the optional 2-year renewal period.

These services represent 3.81 of the total cost in the CSG Government Solutions' cost submittal for the initial term of the purchase order. Dependent on final negotiated pricing and actual usage or volume, it is expected that Inteuor will receive an estimated $153,600 during the initial purchase order term.

Intueor represents that it meets the small diverse business requirements set forth in the RFQ and all required documentation has been provided to CSG Government Solutions for its SDB submission.

We look forward to the opportunity to serve the Department of Labor and Industry on this project. If you have any questions concerning our small diverse business commitment, please feel free to contact me at the number below.

Sincerely,

[redacted]

Tim Lenning
Executive Vice President
CSG Government Solutions
(312) 444-2760

Acknowledged,

[redacted]

Ravi Nandivada
Director of Consulting Services
Intueor Consulting, Inc.
(949) 394-4163

pennsylvania
OFFICE OF ADMINISTRATION
INFORMATION TECHNOLOGY

ADMINISTRATIVE CLARIFICATION

September 15, 2014

Jim Mahony
CSG Government Solutions
180 N. Stetson Ave., Suite 3200
Chicago, IL 60601

RE: Office of Administration **RFQ #** 6100029898

Dear Mr. Mahony,

The Office of Administration is performing its preliminary evaluation of the proposal received in response to UC Benefit Modernization Project Management and IV & V Services RFQ 6100029898 issued on July 31, 2014. So that the Office may complete the preliminary evaluation, we have determined a need for administrative clarifications.

- Per section I-13 of the RFQ, it states "the proposal must remain valid until a purchase order is issued". Please confirm CSG Government Solution's proposal will remain valid until then or until notified otherwise by the Issuing Officer.

Please provide a complete response to this no later than **Tuesday, September 16, 2014 by 11:00 AM** via electronic e-mail, RA-OITPurchases@state.pa.us.

Thank you for your assistance.

Sincerely,

[redacted]

Issuing Officer

CSG Government Solutions

September 15, 2014

Christina M. Geegee-Dugan
Issuing Officer
Office of Administration
506 Finance Building
Harrisburg, PA 17120

Re: Office of Administration RFQ # 6100029898; Administrative Clarification

Dear Ms. Geegee-Dugan,

CSG Government Solutions (CSG) provides this administrative clarification in response to your letter, dated September 15, 2014. Per Request for Quotes (RFQ) section I-13, CSG confirms that our proposal remains valid until a purchase order is issued or until notified otherwise by the Issuing Officer.

We appreciate the opportunity to respond to this RFQ and look forward to working with the Commonwealth of Pennsylvania on this important project.

Sincerely,

[redacted]

Tim Lenning
Executive Vice President
CSG Government Solutions

180 North Stetson Avenue
Suite 3200
Chicago, IL 60601
312.444.2760
Fax: 312.938.2191
www.csgdelivers.com

pennsylvania
OFFICE OF ADMINISTRATION

CLARIFICATIONS

October 8, 2014

Jim Mahony
CSG Government Solutions
180 N. Stetson Ave., Suite 3200
Chicago, IL 60601

RE: Office of Administration **RFQ #** 6100029898

Dear Mr. Mahony,

The Office of Administration is performing its preliminary evaluation of the proposal received in response to UC Benefit Modernization Project Management and IV & V Services RFQ 6100029898 issued on July 31, 2014. So that the Department may complete the preliminary evaluation, we have determined a need for clarification of your proposal.

- What subcontractors are going to be utilized for this project?
- What are the roles and responsibilities of the subcontractors for this project?
- What is the % of the staff dedicated to this project? Include in response the work location and work hours of personnel assigned to this project?
- If replacement of personnel occurs, how will the contractor ensure no loss of knowledge for the project occurs?
- Please elaborate on the knowledge transition process that will be utilized if replacement of personnel occurs?
- How does the contractor plan to distinguish separation for IV&V and PMO in the change control process?
- Section 3.4., Optional Implementation Oversight, the IV&V work breakdown structure plan was missing the end dates in table. Please submit a complete work breakdown IV &V table.

Please provide a complete written response no later than **Tuesday, October 14, 2014 by 11:00 AM** via electronic e-mail, RA-OITPurchases@state.pa.us

Thank you for your assistance.

Sincerely,

[redacted]

Christina M. Geegee-Dugan
Issuing Officer

pennsylvania
DEPARTMENT OF LABOR & INDUSTRY

COMMONWEALTH OF PENNSYLVANIA
DEPARTMENT OF LABOR AND INDUSTRY

UC BENEFITS MODERNIZATION PROJECT MANAGEMENT AND IV&V SERVICES

RFQ #6100029898

CLARIFICATIONS RESPONSE
OCTOBER 14, 2014
DUE BY 11:00 AM EST

CSG Government Solutions

180 N. Stetson
Suite 3200
Chicago, IL 60601

Phone: (312) 444-2760
Fax: (312) 938-2191
www.csgdelivers.com

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Question 1

What subcontractors are going to be utilized for this project?

CSG will be utilizing the following subcontractors for this project.

Logic House, Ltd.

Logic House Ltd. was incorporated in the Commonwealth of Pennsylvania in April 1990. They have been providing Information Technology consulting services and staff augmentation hourly based services for over 24 years. Logic House is a certified WBE in Pennsylvania, and is also nationally certified by the Woman Business Enterprise National Council (WBENC).

Logic House has a strong consulting practice that focuses on Unemployment Compensation and Health and Human Service automation projects. Over the past 24 years Logic House has participated in several large scale automation projects for many states including the following: Massachusetts Unemployment Insurance Automation Project, New Mexico Unemployment Insurance Automation Project, Arizona Employment Security Business Process Reengineering Project, New York State Functional Roadmap (FRM) Project, Indiana Welfare Modernization Planning Project, Indiana Welfare Operational Verification and Validation Project, Louisiana Welfare Modernization Planning Project, and the Texas HHSC Y2K Validation Project. Our consulting experience with government agencies allows us to recruit and deliver candidates with agency specific business knowledge.

Logic House has developed an outstanding capability to provide high quality candidates for our clients and to respond quickly to their needs. They fully understand the competitive pricing, performance requirements, and quick turnaround times required by our public sector clients. As mentioned previously, Logic House is currently engaged in several other highly competitive IT service contracts and has recent and relevant experience performing in very competitive settings. Logic House has experienced full time recruiters and client service personnel that will support CSG in servicing the needs of the Commonwealth on this project.

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Intueor Consulting, Inc.

Intueor Consulting, Inc. is a strategy, operations and business technology consulting firm, that specializes in enabling Public Sector agencies maximize business value to their constituents, through sustainable business transformation. Intueor was incorporated in the State of California and has consultants across the country, who collectively offer hundreds of years of world-class management consulting expertise to support transformative programs undertaken by Public Sector Agencies. Intueor is also certified as a Small Diverse Business in the Commonwealth of Pennsylvania.

Intueor supports their clients' transformative programs by providing valuable Strategy, Operations and Business Technology Consulting Services:

- ***Strategize*** – Intueor develops and implement actionable strategies to succeed, expand and grow their clients' businesses in the present as well as for the future
- ***Optimize*** – Intueor reviews and assesses business operations with the objective of improving their clients' operational performance, develop and implement (remedial or proactive) transformational programs that enable them to outperform their mission
- ***Innovate*** – Intueor helps their clients manage technology investments so as to utilize technology as a catalyst in implementing growth strategies as well as transformational programs

Intueor offers Technology Consulting services that comprise:

- ***CIO Services*** that encompass IT Strategic Planning, IT Governance, IT Portfolio Rationalization, IT Service Management, and Enterprise Architecture
- ***Technology Planning Services*** that encompass Business Case Development and ROI Analysis, Needs Assessment and Requirements Definition, and Organizational Change Readiness
- ***Technology Acquisition Services*** that encompass RFx Development, and Technology Selection Support
- ***Technology Implementation Oversight Services*** that encompass Project Planning, Quality Assurance, and Technical and Functional Support

Particularly, with respect to Unemployment Insurance Technology Modernization Programs, Intueor's consultants have played a very influential role since the early 2000's, in several UI Modernization programs, offering business and technology services ranging from Project Management, Business Analysis, Technology Architecture Definition, Solution Development, and Data Conversion.

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Question 2

What are the roles and responsibilities of the subcontractors for this project?

The role and responsibilities for each identified subcontractor are detailed in the following table.

Roles	Responsibilities
Logic House, Ltd.	
(1) Project Scheduler Varun Anand	➢ Leads the development and maintenance of the project schedule for the modernization effort ➢ Assesses project cost and creates efficiencies within project processes ➢ Communicates progress with the project manager and stakeholders, identifying changes to the schedule
(2) Technical Writer Rajshree Koirala Nisarg Gopinath Upadhyay	➢ Supports requirements gathering activities ➢ Assists in facilitating JAR sessions and project meetings ➢ Creates and distributes notes for all JAR sessions ➢ Assists in creation of deliverables
(1) Technical Writer Gayle Kohr	➢ Assists with development of the statement of work for inclusion in the solicitation documents ➢ Formats the requirements and contributes to the modernization vendor solicitation document ➢ Documents decisions and requirements from design meetings
(1) Solutions Architect/ Data Architect/ ETL Specialist Narendra Yadav	➢ Oversees the large, complex database, and evaluates impacts to the data ➢ Evaluates and develops logical and physical data models ➢ Makes recommendations for performance tuning and efficiencies ➢ Provides input to requirements for the modernization vendor solicitation documentation ➢ Evaluates current data architecture and architecture for proposed solution ➢ Performs data analysis and modeling as needed ➢ Develops plans for data migration ➢ Creates data maps for modernization and troubleshoots the process ➢ Identifies areas of risk and develops mitigation strategies ➢ Contributes to development of test and migration plans ➢ Develops data load plans and processes for testing ➢ Queries the data for pertinent information and reports
(1) Testing Technician Vennela Padi	➢ Develops test plans and use cases for testing phases ➢ Develops test cases and validates test outcomes ➢ Monitors and manages testing and defect logs ➢ Validates system interfaces and integration with other systems

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Roles	Responsibilities
(1) Usability Testing Specialist Ramya Senthilkumar	➢ Collaborates with test teams to develop test plans and use cases ➢ Develops test cases and validates test outcomes ➢ Assists with monitoring the defect log ➢ Performs testing as needed
Intueor Consulting, Inc.	
(1) Technical Advisor Vijay Pandey	➢ Provides ongoing technical architecture support and data migration strategies ➢ Participates in technical architecture reviews ➢ Provides subject matter expertise for solicitation development and vendor selection

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Question 3

What is the % of the staff dedicated to this project? Include in response the work location and work hours of personnel assigned to this project?

The following table provides detailed information on CSG's staffing plan, including the percentage of time each resource is dedicated to project and the work hours and work location.

Resource	Company	CSG Defined Position	RFQ Defined Role	% of time dedicated to project	Work Hours	Work Location
Core PMO Team						
Saralinda Bauer	CSG	Project Manager	Project Manager	100% 10/27/2014 – 8/4/2017	8:30 A.M. – 5:00 P.M. Eastern Time	Harrisburg, PA
Varun Anand	Logic House	Project Scheduler	Project Scheduler	100% 10/27/2014 – 8/4/2017	8:30 A.M. – 5:00 P.M. Eastern Time	Harrisburg, PA
Lisa Newell	CSG	Business Architect/ Policy Writer	Business Architect/ Policy Writer	100% 11/17/2014 – 7/7/2017	8:30 A.M. – 5:00 P.M. Eastern Time	Harrisburg, PA
Korol Taylor	CSG	Senior Technical Architect	Infrastructure Architect Integration/ Configuration Specialist Source Code Auditor	100% 11/17/2014 – 8/4/2017	8:30 A.M. – 5:00 P.M. Eastern Time	Harrisburg, PA

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Resource	Company	CSG Defined Position	RFQ Defined Role	% of time dedicated to project	Work Hours	Work Location
Requirements Team						
Joseph Amash	CSG	Business Analyst	Business Analyst	100% 11/17/2014 – 6/4/2015	8:30 A.M. – 5:00 P.M. Eastern Time	Harrisburg, PA
Kristie Gardner	CSG	Business Analyst	Business Analyst	100% 11/17/2014 – 5/15/2015	8:30 A.M. – 5:00 P.M. Eastern Time	Harrisburg, PA
Nisarg Gopinath Upadhyay	Logic House	Technical Writer	Technical Writer	100% 1/26/2015 – 5/6/2015	8:30 A.M. – 5:00 P.M. Eastern Time	Harrisburg, PA
Rajshree Koirala	Logic House	Technical Writer	Technical Writer	100% 1/26/2015 – 5/6/2015	8:30 A.M. – 5:00 P.M. Eastern Time	Harrisburg, PA
Technical Support Team						
Gayle Kohr	Logic House	Technical Writer	Technical Writer	100% 12/30/2014 – 7/17/2015	8:30 A.M. – 5:00 P.M. Eastern Time	Harrisburg, PA
Narendra Yadav	Logic House	Solutions Architect	Solutions Architect Data Architect ETL Specialist	100% 2/1/2016 – 1/31/2017	8:30 A.M. – 5:00 P.M. Eastern Time	Harrisburg, PA

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Resource	Company	CSG Defined Position	RFQ Defined Role	% of time dedicated to project	Work Hours	Work Location
Optional Implementation Oversight Team						
Bill Vacha	CSG	Quality Assurance Manager	Quality Assurance Manager	100% During System Implementation 1/8/2016 – 8/7/2017 50% During Post Implementation Warranty Period 8/8/2017 – 9/7/2018	8:30 A.M. – 5:00 P.M. Eastern Time	Harrisburg, PA
Troy Rutten	CSG	Quality Assurance Architect	Quality Assurance Architect	100% 1/8/2016 – 8/7/2017	8:30 A.M. – 5:00 P.M. Eastern Time	Harrisburg, PA
Vennela Padi	Logic House	Testing Technician	Testing Technician Usability Testing Specialist	100% 2/16/2017 – 7/7/2017	8:30 A.M. – 5:00 P.M. Eastern Time	Harrisburg, PA
Ramya Senthilkumar	Logic House	Usability Testing Specialist	Usability Testing Specialist	100% 2/16/2017 – 7/7/2017	8:30 A.M. – 5:00 P.M. Eastern Time	Harrisburg, PA

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Resource	Company	CSG Defined Position	RFQ Defined Role	% of time dedicated to project	Work Hours	Work Location
Mark Daflucas	CSG	Technical Analyst	Infrastructure Architect Integration/ Configuration Specialist Source Code Auditor Testing Technician Usability Testing Specialist	50% 1/8/2016 – 8/7/2017	8:30 A.M. – 5:00 P.M. Eastern Time	Harrisburg, PA
Project Advisory Team						
Vijay Pandey	Intueor Consulting Inc.	Technical Advisor	N/A	20% 10/27/2014 – 8/4/2017	8:30 A.M. – 5:00 P.M. Eastern Time	Harrisburg, PA
Jim Mahony	CSG	Client Executive	N/A	As-needed 10/27/2014 – 9/7/2018	8:30 A.M. – 5:00 P.M. Eastern Time	Remote and Harrisburg, PA as needed
Richard Staten	CSG	Project Advisor	N/A	As-needed 10/27/2014 – 8/4/2017	8:30 A.M. – 5:00 P.M. Eastern Time	Remote and Harrisburg, PA as needed
Tim Saar	CSG	Project Advisor	N/A	As-needed 10/27/2014 – 8/4/2017	8:30 A.M. – 5:00 P.M. Eastern Time	Remote and Harrisburg, PA as needed

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Question 4

If replacement of personnel occurs, how will the contractor ensure no loss of knowledge for the project occurs?

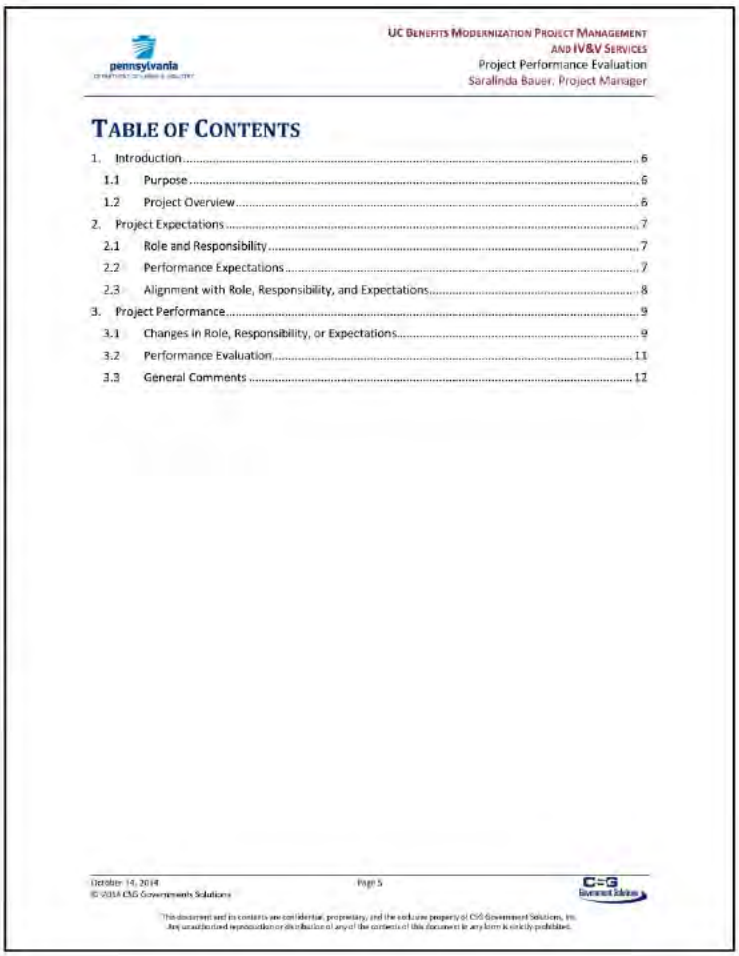
CSG commits to providing the project staff we propose for the L&I UC Benefits Modernization Project. To demonstrate our commitment to maintaining continuity throughout the project, we have identified a foundational, consistent Core PMO Team to oversee the UC modernization effort for the duration of the engagement. This Core PMO Team provides the basis for knowledge transfer across all the skillsets and roles identified by L&I for the project.

We understand and commit to L&I's procedures outlined in RFQ Section IV-3. Requirements, D – Replacement of Personnel. Our Resource Management Plan, a component of the Project Management Plan, will incorporate these requirements. In addition, CSG develops thorough Project Performance Evaluation guide for every team member on the project. These guides document and set expectations for each team member and facilitates staff transition when necessary. The screenshot below demonstrates the information contained in each team member's Project Performance Evaluation. We develop a resource transition plan to identify the timing, training, and communication requirements of the resource change to ensure no loss of knowledge.

As an organization, CSG continually forecasts staffing commitments to avoid any conflicts and ensure individuals are available. Our resource planning is directly correlated with the project schedule, activity durations, and scope. The CSG resource plan shows when staff join and roll off the project and projected hours based on utilization over the period they are scheduled on the project.

The CSG Project Performance Group (PPG) provides resource management support and works closely with our Client Executive and Project Manager to meet the staffing needs of the project. The PPG also ensures that CSG maintains the quality resources required to successfully deliver this project.

Our response to question five elaborates on the knowledge transition process that will be utilized if replacement of personnel occurs.



pennsylvania

UC BENEFITS MODERNIZATION PROJECT MANAGEMENT
AND IV&V SERVICES
Project Performance Evaluation
Saralinda Bauer, Project Manager

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Question 5

Please elaborate on the knowledge transition process that will be utilized if replacement of personnel occurs?

Resource Management Plan

CSG maintains a systematic approach for acquiring and developing the staff members engaged on the L&I project. CSG's Resource Management Plan provides the structures for identifying, assigning, and managing all resources for the project. The Resource Management Plan includes:

- Identifying resource needs and determining resource assignments
- Acquiring and developing staff with the appropriate skills and expertise, including subcontractors
- Completing all approvals and paperwork the client requires for project team members (e.g., background checks, training, etc.)
- Training all team members in the subject matter, quality processes, required work, and tools for a project
- Defining project performance evaluation guide for each team member and managing project team members to them
- Identifying and managing to team members' strengths/weaknesses and addressing CSG team member conflict
- Conducting ongoing project performance evaluations for each team member
- Defining resource replacement and approval procedures including those defined in RFQ Section IV-3. Requirements, D – Replacement of Personnel.

Onboarding Procedures

Upon the realization that there is a need to replace a project staff member, CSG immediately begins our internal process to identify qualified candidates to fulfill the role. We work with L&I to ensure there is no impact on the project and adhere to all the procedures outlined in RFQ Section IV-3. Requirements, D – Replacement of Personnel.

Upon approval of the CSG candidate, we initiate the resource transition plan. The new team member is given access to our TeamCSG℠ project site that was created specifically for the project. The CSG Project Manager provides an overview of the site and a list of materials for the team member to review. The team member utilizes the project site to familiarize themselves with all available documentation and relevant project artifacts for the project and their role.

The Project Manager conducts a Boot Camp with the new team member to clearly define project goals and expectations and what their role and responsibilities are on the L&I project. This process ensures that new team member has a thorough understanding of the project and their role prior to beginning work. CSG's Boot Camp covers topics such as: project structure, project policies regarding client information, use of equipment, work environment, and system access among others.

As defined in RFQ Section IV-3. Requirements, D – Replacement of Personnel, CSG builds into our transition plan the required minimum of a fourteen (14) calendar day overlap at no additional charge to

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the Commonwealth. The team member transitioning off the project meets with individual they are replacing and the CSG Project Manager to discuss their role in detail and clarify any questions from the new team member. The individual leaving the project also demonstrates any tools used in their role and ensures the new team member has a thorough understanding of the tools. For the remainder of the 14 day overlap period, the new team member shadows the daily activities of their predecessor and gains first-hand knowledge of relevant project information and establishes solid working relationships with the UC Benefits Modernization Project Team, ensuring a seamless transition. At the end of the 14 day period, the CSG Project Manager, the new team member, and the individual leaving the project meet and review the role and transition to ensure it was effective and complete.

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Question 6

How does the contractor plan to distinguish separation for IV&V and PMO in the change control process?

As addressed in Section 3.4 of our proposal, Optional Implementation Oversight, under IV&V Project Independence, CSG recognizes the importance of actively engaging in the project while maintaining strict technical and managerial independence from the day-to-day activities and management of the project. The CSG IV&V team applies this approach to all of the PMO Project Management processes including **Change Control Management**. CSG achieves this independence by setting up a governance structure, processes, and tools to maintain impartiality. We have developed and refined our IV&V approach and governance approach through our project experiences where we have provided PMO and IV&V services. Most recently we provided PMO and IV&V services for the State of Indiana Family and Social Services Agency on the ICD-10 Design, Development, and Implementation Project and on the Iowa Medicaid Enterprise Health Insurance Portability and Accountability Act (HIPAA) 5010, NCPDP, and ICD-10 Code Sets Initiative, Strategic Planning, Technical Assistance, and Test Planning/Quality Assurance Project.

The CSG IV&V Project Manager works with the L&I Project Sponsor during the development of the IV&V Management Plan to clearly define roles, expectations, evaluation, and reporting processes for all project activities. Specifically for Change Control Management, the IV&V team does not approve Change Requests or any other project deliverables of the CSG PMO or the selected implementation vendor. The IV&V team will observe, evaluate, and report on whether the approved project processes are being followed and are consistent with industry standards. The IV&V team will include these findings in the IV&V Project Status Reports.

The CSG PMO develops specifically tailored Change Management procedures in collaboration with the L&I Project Manager and the L&I Project Sponsor, to include how changes will be proposed, accepted, monitored, and controlled, as well as participant roles and responsibilities. The development and updates to the Change Management procedures consider the role of IV&V when this process is developed and when it is updated throughout the project to adapt it to the current project structure.

As outlined in Section 3.1.5.1, Project Management Plan, of our proposal in the CSG Change Request Process (beginning on page 58) under Change Control Management approach, stakeholders initiate a change request whenever there is a request for a modification to the project scope (i.e., deliverables, Statement of Work). Many events may trigger a change request, although typically they include changes to state and federal policy, industry standards, business partner data sets or systems, new or enhanced services or functionality, or changes in circumstances, **the IV&V team may also identify a risk or issue that generates a change request typically initiated by L&I.**

The IV&V team monitors project performance for adherence to scope, cost, time, and quality expectations. We conduct in-depth assessments of the UC Benefits Modernization Project, specifically on established project management oversight processes, and risks and issues management.

- Independent **CSG Project Teams** – We utilize the model that has been successfully used on previous projects in which we have had multiple project roles. The CSG IV&V and PMO teams are independent of each other and have separate project managers, team members and reporting structures.
- **Governance – The CSG IV&V Project Manager reports directly to the L&I Project Sponsor,** not the CSG or the L&I Project Managers providing the foundation for successful independence. This

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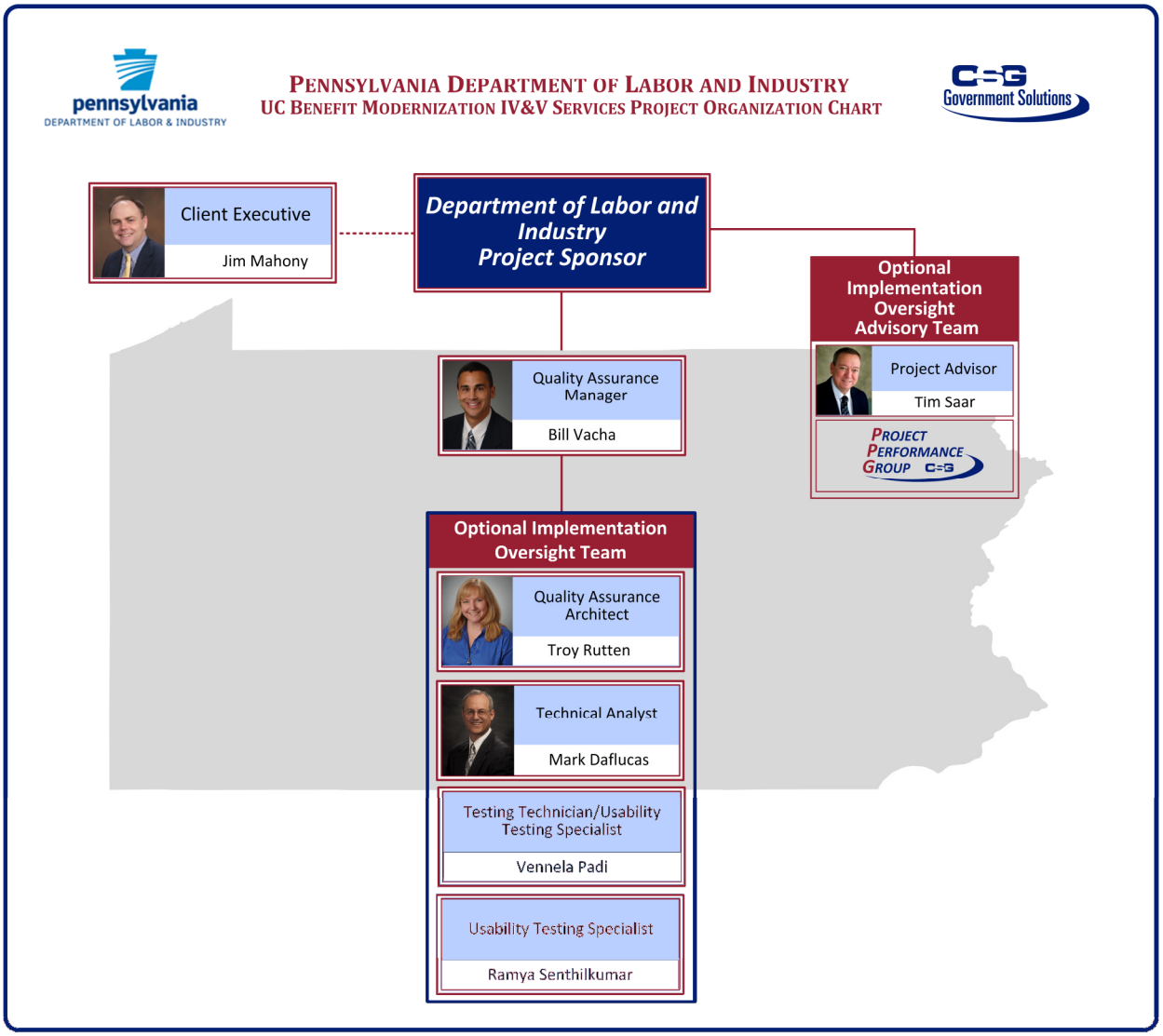
structure is conducive to an environment where the team can provide unbiased observations and recommendations, ensuring both the L&I project team, the CSG PMO team, and DDI Contractor perspectives are given fair consideration and promotes the opportunity for compromise when issues need resolution.

- **Review of PMO work** – Our IV&V team will assess the artifacts developed by the CSG PMO team using the TeamCSG℠ Risk Assessment Model, which will be used to assess all aspects of the UC Benefit Modernization Project including **Change Control Management**. The results of the assessment will be included with all other assessed items as defined in the Project Execution and Project Monitoring and Control portions of Section 3.4.1 of our proposal.

The following IV&V project organization chart demonstrates the IV&V team reports directly to the L&I Project Sponsor. In our original submission the L&I Project Sponsor box incorrectly indicated this was the L&I Project Manager.



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Question 7

Section 3.4., Optional Implementation Oversight, the IV&V work breakdown structure plan was missing the end dates in table. Please submit a complete work breakdown IV&V table.

Our initial IV&V work breakdown structure with end dates has been provided on the following pages.

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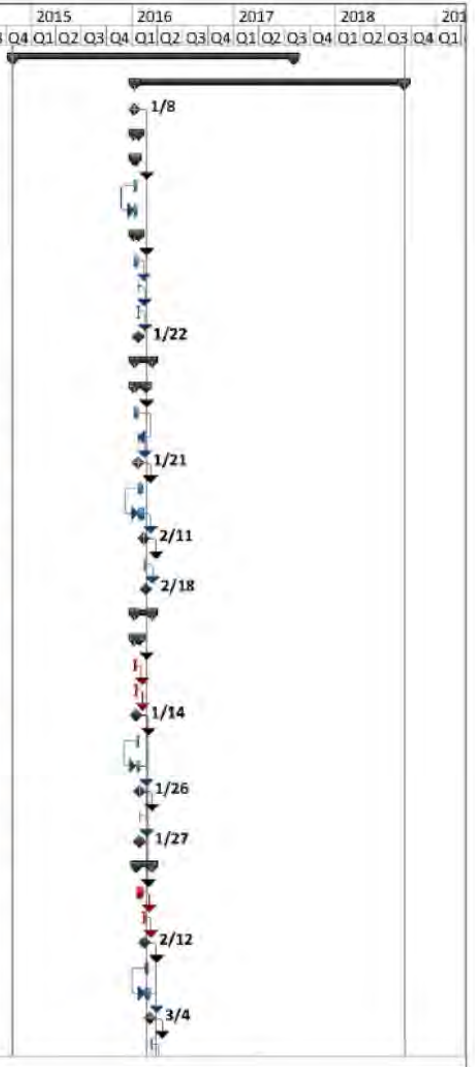
ID	Task Mode	Task Name	Start	Finish
1		**PA UC Benefits Modernization PMO Services**	**Mon 10/27/14**	**Fri 8/4/17**
254		**PA UC Benefits Modernization Implementation Oversight (Optional Service)**	**Fri 1/8/16**	**Fri 9/7/18**
255		**IV&V Project Start Date**	**Fri 1/8/16**	**Fri 1/8/16**
256		**IV&V Project Initiation**	**Fri 1/8/16**	**Fri 1/22/16**
257		**Project SharePoint Site**	**Fri 1/8/16**	**Thu 1/14/16**
258		Configure Project SharePoint Site	Fri 1/8/16	Thu 1/14/16
259		Configure TeamCSG Project Risk and Issue Tracker	Fri 1/8/16	Thu 1/14/16
260		**Project Kickoff Meeting**	**Fri 1/8/16**	**Fri 1/22/16**
261		Prepare Project Kickoff Meeting Agenda	Fri 1/8/16	Tue 1/19/16
262		Conduct Project Kickoff Meeting	Wed 1/20/16	Wed 1/20/16
263		Prepare and Distribute Project Kickoff Meeting Summary	Thu 1/21/16	Fri 1/22/16
264		**IV&V Project Initiation Complete**	**Fri 1/22/16**	**Fri 1/22/16**
265		**IV&V Project Planning**	**Fri 1/8/16**	**Fri 3/11/16**
266		**IV&V Work Breakdown Structure (Project Schedule)**	**Fri 1/8/16**	**Thu 2/18/16**
267		Develop: Draft WBS (Project Schedule)	Fri 1/8/16	Thu 1/21/16
268		Internal QA Review: Draft IV&V WBS (Project Schedule)	Wed 1/20/16	Thu 1/21/16
269		**Submitted: Draft IV&V WBS (Project Schedule)**	**Thu 1/21/16**	**Thu 1/21/16**
270		Commonwealth Review: Draft IV&V WBS (Project Schedule)	Fri 1/22/16	Thu 2/4/16
271		Finalize: Draft IV&V WBS (Project Schedule)	Fri 1/22/16	Thu 2/11/16
272		**Submitted: Final IV&V WBS (Project Schedule)**	**Thu 2/11/16**	**Thu 2/11/16**
273		Commonwealth Review: Final IV&V WBS (Project Schedule)	Fri 2/12/16	Thu 2/18/16
274		**Approved: Final IV&V WBS (Project Schedule)**	**Thu 2/18/16**	**Thu 2/18/16**
275		**IV&V Management Plan**	**Fri 1/8/16**	**Fri 3/11/16**
276		**IV&V Management Plan Deliverable Expectation Document**	**Fri 1/8/16**	**Wed 1/27/16**
277		Develop: Draft IV&V Management Plan DED	Fri 1/8/16	Tue 1/12/16
278		Internal QA Review: Draft IV&V Management Plan DED	Wed 1/13/16	Thu 1/14/16
279		**Submitted: Draft IV&V Management Plan DED**	**Thu 1/14/16**	**Thu 1/14/16**
280		Commonwealth Review: Draft IV&V Management Plan DED	Fri 1/15/16	Fri 1/22/16
281		Finalize: Draft IV&V Management Plan DED	Fri 1/15/16	Tue 1/26/16
282		**Submitted: Final IV&V Management Plan DED**	**Tue 1/26/16**	**Tue 1/26/16**
283		Commonwealth Review: Final IV&V Management Plan DED	Wed 1/27/16	Wed 1/27/16
284		**Approved: Final IV&V Management Plan DED**	**Wed 1/27/16**	**Wed 1/27/16**
285		**IV&V Management Plan**	**Fri 1/15/16**	**Fri 3/11/16**
286		Develop: Draft IV&V Management Plan	Fri 1/15/16	Fri 2/5/16
287		Internal QA Review: Draft IV&V Management Plan	Mon 2/8/16	Fri 2/12/16
288		**Submitted: Draft IV&V Management Plan**	**Fri 2/12/16**	**Fri 2/12/16**
289		Commonwealth Review: Draft IV&V Management Plan	Mon 2/15/16	Fri 2/26/16
290		Finalize: Draft IV&V Management Plan	Mon 2/15/16	Fri 3/4/16
291		**Submitted: Final IV&V Management Plan**	**Fri 3/4/16**	**Fri 3/4/16**
292		Commonwealth Review: Final IV&V Management Plan	Mon 3/7/16	Fri 3/11/16



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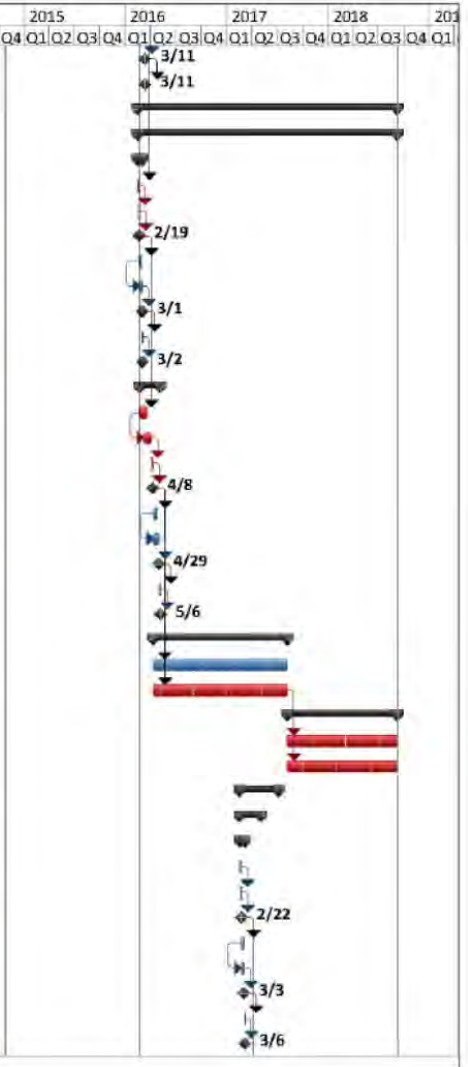
ID	Task Mode	Task Name	Start	Finish
293		Approved: Final IV&V Management Plan	Fri 3/11/16	Fri 3/11/16
294		IV&V Project Planning Complete	Fri 3/11/16	Fri 3/11/16
295		IV&V Project Execution	Mon 2/15/16	Fri 9/7/18
296		Assessment Report	Mon 2/15/16	Fri 9/7/18
297		Assessment Report Deliverable Expectation Document	Mon 2/15/16	Wed 3/2/16
298		Develop: Draft Assessment Report DED	Mon 2/15/16	Wed 2/17/16
299		Internal QA Review: Draft Assessment Report DED	Thu 2/18/16	Fri 2/19/16
300		Submitted: Draft Assessment Report DED	Fri 2/19/16	Fri 2/19/16
301		Commonwealth Review: Draft Assessment Report DED	Mon 2/22/16	Fri 2/26/16
302		Finalize: Draft Assessment Report DED	Mon 2/22/16	Tue 3/1/16
303		Submitted: Final Assessment Report DED	Tue 3/1/16	Tue 3/1/16
304		Commonwealth Review: Final Assessment Report DED	Wed 3/2/16	Wed 3/2/16
305		Approved: Final Assessment Report DED	Wed 3/2/16	Wed 3/2/16
306		Initial Assessment Report	Mon 2/22/16	Fri 5/6/16
307		Conduct Initial Assessment	Mon 2/22/16	Fri 3/18/16
308		Develop: Draft Assessment Report	Mon 3/7/16	Fri 4/1/16
309		Internal QA Review: Draft Assessment Report	Mon 4/4/16	Fri 4/8/16
310		Submitted: Draft Assessment Report	Fri 4/8/16	Fri 4/8/16
311		Commonwealth Review: Draft Assessment Report	Mon 4/11/16	Fri 4/22/16
312		Finalize: Draft Assessment Report	Mon 4/11/16	Fri 4/29/16
313		Submitted: Final Assessment Report	Fri 4/29/16	Fri 4/29/16
314		Commonwealth Review: Final Assessment Report	Mon 5/2/16	Fri 5/6/16
315		Approved: Final Assessment Report	Fri 5/6/16	Fri 5/6/16
316		Monthly Assessment Reports	Mon 4/11/16	Mon 8/7/17
317		Update IV&V Checklists (Monthly)	Mon 4/11/16	Mon 8/7/17
318		Deliverable: Develop and Submit Monthly Assessment Reports	Mon 4/11/16	Mon 8/7/17
319		Bi-Monthly Assessment Reports	Tue 8/8/17	Fri 9/7/18
320		Update IV&V Checklists (Bi-Monthly)	Tue 8/8/17	Fri 9/7/18
321		Deliverable: Develop and Submit bi-Monthly Assessment Reports	Tue 8/8/17	Fri 9/7/18
322		Validation Testing	Thu 2/16/17	Fri 7/7/17
323		Test Plans	Thu 2/16/17	Wed 5/3/17
324		Test Plans Deliverable Expectation Document	Thu 2/16/17	Mon 3/6/17
325		Develop: Draft Test Plans DED	Thu 2/16/17	Mon 2/20/17
326		Internal QA Review: Draft Test Plans DED	Tue 2/21/17	Wed 2/22/17
327		Submitted: Draft Test Plans DED	Wed 2/22/17	Wed 2/22/17
328		Commonwealth Review: Draft Test Plans DED	Thu 2/23/17	Wed 3/1/17
329		Finalize: Draft Test Plans DED	Thu 2/23/17	Fri 3/3/17
330		Submitted: Final Test Plans DED	Fri 3/3/17	Fri 3/3/17
331		Commonwealth Review: Final Test Plans DED	Mon 3/6/17	Mon 3/6/17
332		Approved: Final Test Plans DED	Mon 3/6/17	Mon 3/6/17



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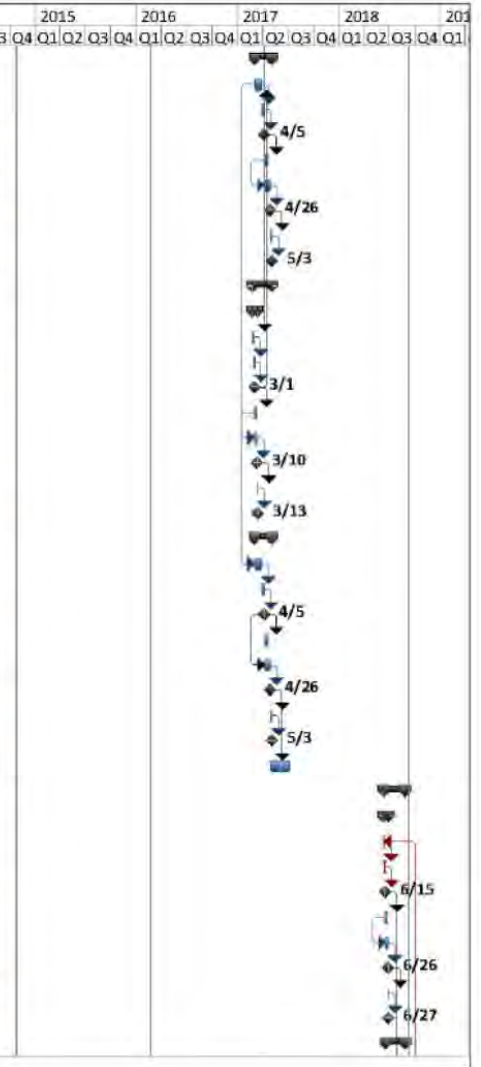
ID	Task Mode	Task Name	Start	Finish
333		**Test Plans**	**Thu 3/2/17**	**Wed 5/3/17**
334		Develop: Draft Test Plans	Thu 3/2/17	Wed 3/29/17
335		Incorporate Internal Feedback: Draft Test Plans	Thu 3/30/17	Wed 4/5/17
336		**Submitted: Draft Test Plans**	**Wed 4/5/17**	**Wed 4/5/17**
337		Commonwealth Review: Draft Test Plans	Thu 4/6/17	Wed 4/19/17
338		Finalize: Draft Test Plans	Thu 4/6/17	Wed 4/26/17
339		**Submitted: Final Test Plans**	**Wed 4/26/17**	**Wed 4/26/17**
340		Commonwealth Review: Final Test Plans	Thu 4/27/17	Wed 5/3/17
341		**Approved: Final Test Plans**	**Wed 5/3/17**	**Wed 5/3/17**
342		**Use Cases**	**Thu 2/23/17**	**Wed 5/3/17**
343		**Use Cases Deliverable Expectation Document**	**Thu 2/23/17**	**Mon 3/13/17**
344		Develop: Draft Use Cases DED	Thu 2/23/17	Mon 2/27/17
345		Internal QA Review: Draft Use Cases DED	Tue 2/28/17	Wed 3/1/17
346		**Submitted: Draft Use Cases DED**	**Wed 3/1/17**	**Wed 3/1/17**
347		Commonwealth Review: Draft Use Cases DED	Thu 3/2/17	Wed 3/8/17
348		Finalize: Draft Use Cases DED	Thu 3/2/17	Fri 3/10/17
349		**Submitted: Final Use Cases DED**	**Fri 3/10/17**	**Fri 3/10/17**
350		Commonwealth Review: Final Use Cases DED	Mon 3/13/17	Mon 3/13/17
351		**Approved: Final Use Cases DED**	**Mon 3/13/17**	**Mon 3/13/17**
352		**Use Cases**	**Thu 3/2/17**	**Wed 5/3/17**
353		Develop: Draft Use Cases	Thu 3/2/17	Wed 3/29/17
354		Internal QA Review: Draft Use Cases	Thu 3/30/17	Wed 4/5/17
355		**Submitted: Draft Use Cases**	**Wed 4/5/17**	**Wed 4/5/17**
356		Commonwealth Review: Draft Use Cases	Thu 4/6/17	Wed 4/19/17
357		Finalize: Draft Use Cases	Thu 4/6/17	Wed 4/26/17
358		**Submitted: Final Use Cases**	**Wed 4/26/17**	**Wed 4/26/17**
359		Commonwealth Review: Final Use Cases	Thu 4/27/17	Wed 5/3/17
360		**Approved: Final Use Cases**	**Wed 5/3/17**	**Wed 5/3/17**
361		Conduct Validation Testing and Document Results	Thu 4/27/17	Fri 7/7/17
362		**Final Recommendations Report**	**Mon 6/11/18**	**Mon 8/27/18**
363		**Final Recommendations Deliverable Expectation Document**	**Mon 6/11/18**	**Wed 6/27/18**
364		Develop: Draft Final Recommendations DED	Mon 6/11/18	Wed 6/13/18
365		Internal QA Review: Draft Final Recommendations DED	Thu 6/14/18	Fri 6/15/18
366		**Submitted: Draft Final Recommendations DED**	**Fri 6/15/18**	**Fri 6/15/18**
367		Commonwealth Review: Draft Final Recommendations DED	Mon 6/18/18	Fri 6/22/18
368		Finalize: Draft Final Recommendations DED	Mon 6/18/18	Tue 6/26/18
369		**Submitted: Final Recommendations DED**	**Tue 6/26/18**	**Tue 6/26/18**
370		Commonwealth Review: Final Recommendations DED	Wed 6/27/18	Wed 6/27/18
371		**Approved: Final Recommendations DED**	**Wed 6/27/18**	**Wed 6/27/18**
372		**Final Recommendations**	**Mon 6/18/18**	**Mon 8/27/18**



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ID	Task Mode	Task Name	Start	Finish
373		Perform Interviews with System Stakeholders	Mon 6/18/18	Fri 6/22/18
374		Develop: Draft Final Recommendations	Mon 6/25/18	Mon 7/23/18
375		Internal QA Review: Draft Final Recommendations	Tue 7/24/18	Mon 7/30/18
376		**Submitted: Draft Final Recommendations**	**Mon 7/30/18**	**Mon 7/30/18**
377		Commonwealth Review: Draft Final Recommendations	Tue 7/31/18	Mon 8/13/18
378		Finalize: Draft Final Recommendations	Tue 7/31/18	Mon 8/20/18
379		**Submitted: Final Recommendations**	**Mon 8/20/18**	**Mon 8/20/18**
380		Commonwealth Review: Final Recommendations	Tue 8/21/18	Mon 8/27/18
381		**Approved: Final Recommendations**	**Mon 8/27/18**	**Mon 8/27/18**
382		**IV&V Project Execution Complete**	**Mon 8/27/18**	**Mon 8/27/18**
383		**IV&V Project Monitoring and Control**	**Fri 1/8/16**	**Fri 9/7/18**
384		Perform IV&V Project Management Activities, Status Reporting and Status Meetings (Weekly)	Fri 1/8/16	Fri 9/7/18
385		Perform IV&V Management Plan Monthly Review and Updates	Fri 1/8/16	Fri 9/7/18
386		Performance Monitoring, Code Reviews, Data Conversion Validation	Fri 1/8/16	Fri 9/7/18
387		**IV&V Project Monitoring and Control Complete**	**Fri 9/7/18**	**Fri 9/7/18**
388		**IV&V Project Closeout**	**Tue 8/28/18**	**Fri 9/7/18**
389		Collect Lessons Learned and Conduct Session	Tue 8/28/18	Fri 9/7/18
390		Archive Project Library	Tue 8/28/18	Fri 9/7/18

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INFORMATION TECHNOLOGY SERVICES ITQ

REQUEST FOR QUOTATIONS FOR

UC BENEFIT MODERNIZATION PROJECT MANAGEMENT AND IV&V SERVICES

ISSUING OFFICE

OFFICE OF INFORMATION TECHNOLOGY

RFQ NUMBER

6100029898

DATE OF ISSUANCE

July 31, 2014

The Office of Administration, Office of Information Technology has posted solicitation 6100029898 for UC Benefit Modernization Program Management. Please go to the eMarketplace Website to view and download all documentation pertaining to this solicitation.

This is a restricted solicitation, only those contractors qualified in one (1) or more of the following service category(ies) under the Commonwealth's Information Technology (IT) Services Invitation to Qualify (ITQ) Contract, 4400004480, prior to the bid opening date may respond.

- **Consulting Services - IV&V**
- **Consulting Services - IT Project Management**

Organizations interested in doing business with the Commonwealth through this contract must begin by registering with the Commonwealth as a Procurement Supplier. For more information about registration, please view the Registration Guide.

Once an organization is registered with the Commonwealth, they must develop and submit a bid through the PASupplierPortal Website in order to qualify for one, all, or any combination of the service categories associated with this contract. The Commonwealth will evaluate the bid along with all supporting documentation to determine whether the organization meets the minimum eligibility requirements.

For more information about the Commonwealth's Invitation to Qualify contracts and their policies, please visit the ITQ Website.

REQUEST FOR QUOTATIONS

FOR

UC BENEFIT MODERNIZATION PROJECT MANAGEMENT AND IV&V SERVICES

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Part II - PROPOSAL REQUIREMENTS	**12**
Part III - CRITERIA FOR SELECTION	**17**
Part IV - WORK STATEMENT	**21**

APPENDIX A, PROPOSAL COVER SHEET

APPENDIX B, DOMESTIC WORKFORCE UTILIZATION CERTIFICATION

APPENDIX C, COST MATRIX

APPENDIX D, TRADE SECRET/CONFIDENTIAL PROPRIETARY INFORMATION NOTICE

APPENDIX E, TRADE SECRETS, CONFIDENTIAL INFORMATION AND PUBLIC DISCLOSURE

APPENDIX F, LOBBYING CERTIFICATION FORM

APPENDIX G, PROJECT REFERENCE

APPENDIX H, PERSONNEL EXPERIENCE BY KEY POSITION

APPENDIX I, SMALL DIVERSE BUSINESS LETTER OF INTENT

APPENDIX J, QUESTIONS SUBMITTAL TEMPLATE

APPENDIX K, OFFICE OF INFORMATION TECHNOLOGY ORGANIZATIONAL OVERVIEW

CALENDAR OF EVENTS

The Commonwealth will make every effort to adhere to the following schedule:

Activity	Responsibility	Date
Deadline to submit Questions via email to: RA-OITPurchases@state.pa.us]	Contractors	Thursday, August 7, 2014 by 3:00 PM
Pre-proposal Conference – *[Location]* Office of Information Technology Bureau of IT Procurement Finance Building 613 North Drive, 5th floor Harrisburg, PA 17120 Conference Room 503	Issuing Office/ Contractors	Friday, August 8, 2014 10:00 AM – 12:00 PM
Answers to Potential Contractor questions posted to the DGS website no later than this date.	Issuing Office	Monday, August 25, 2014 by 3:00 PM
Please monitor the DGS website for all communications regarding the RFQ.	Contractors	Ongoing
Sealed proposal must be received by the Issuing Office at: Bureau of IT Procurement c/o Commonwealth Mail Processing Center 2 Technology Park (rear) Attn: IT Procurement, Christina Geegee-Dugan 506 Finance Building Harrisburg, Pa 17110 Proposals must be time and date stamped by the facility receiving the proposals. Proposals may only be hand-delivered between 6:00 a.m. and 2:45 p.m., Monday through Friday, excluding Commonwealth holidays.	Contractors	Thursday, September 11, 2014 by 1:00 PM

PART I

GENERAL INFORMATION

I-1. Purpose

This Request for Quotes ("RFQ") provides to those interested in submitting proposals for the subject procurement ("Contractors") sufficient information to enable them to prepare and submit proposals for the **Office of Information Technology Bureau of IT Procurement's** 's consideration on behalf of the Commonwealth of Pennsylvania ("Commonwealth") to satisfy a need for **UC Benefit Modernization Project Management and IV&V Services** ("Project").

I-2. Issuing Office

The **Office of Information Technology Bureau of IT Procurement** ("Issuing Office") has issued this RFQ on behalf of the Commonwealth. The sole point of contact in the Commonwealth for this RFQ is Christina Geegee-Dugan, Bureau of IT Procurement, 506 Finance Building, Harrisburg, PA 17120, RA-OITPurchases@state.pa.us, the Issuing Officer for this RFQ. Please refer all inquiries to the Issuing Officer.

I-3. Scope

This RFQ contains instructions governing the requested proposals, including the requirements for the information and material to be included; a description of the service to be provided; requirements which Contractors must meet to be eligible for consideration; general evaluation criteria; and other requirements specific to this RFQ.

I-4. Problem Statement

The Department of Labor and Industry (L&I) is seeking to acquire project management and IV&V services to oversee the replacement and modernization of the existing legacy IT systems for the Unemployment Compensation Benefits Program. Additional detail is provided in **Part IV** of this RFQ

I-5. Pre-proposal Conference

The Issuing Office will hold a pre-proposal conference as specified in the Calendar of Events. The purpose of this conference is to provide opportunity for clarification of the RFQ. Contractors should forward all questions to the Issuing Office in accordance with **Part I-6** to ensure adequate time for analysis before the Issuing Office provides an answer. Contractors may also ask questions at the conference. In view of the limited facilities available for the conference, Contractors should limit their representation to **two (2)** individuals per Contractor. The pre-proposal conference is for information only. Any answers furnished during the conference will not be official until they have been verified, in writing, by the Issuing Office. All questions and written answers will be posted on the Department of General Services' ("DGS") website (www.emarketplace.state.pa.us) as an addendum to, and shall become part of, this RFQ. Attendance at the Pre-proposal Conference is optional.

I-6. Questions and Answers

If a Contractor has any questions regarding this RFQ, the Contractor must submit the questions by email (with the subject line "IT ITQ RFQ 6100029898 Question") to the Issuing Officer. Questions must be submitted via email no later than the date and time specified in the Calendar of Events. All questions must be submitted on the **Questions Submittal Template** (**Appendix J** to this RFQ), as an email attachment. The Contractor shall not attempt to contact the Issuing Officer by any other means. The Issuing Officer will post the answers to the DGS website. A Contractor who submits a question *after* the deadline date for receipt of questions indicated on the Calendar of Events assumes the risk that its proposal will not be responsive or competitive because the Commonwealth is not able to respond before the proposal receipt date or in sufficient time for the Contractor to prepare a responsive or competitive

proposal. When submitted after the deadline date for receipt of questions indicated on the Calendar of Events, the Issuing Officer *may* respond to questions of an administrative nature by directing the questioning Contractor to specific provisions in the RFQ. To the extent that the Issuing Office decides to respond to a non-administrative question *after* the deadline date for receipt of questions indicated on the Calendar of Events, the answer will be provided to all Contractors through an addendum.

All questions and responses as posted on the DGS website are considered as an addendum to, and part of, this RFQ. Each Contractor shall be responsible to monitor the DGS website for new or revised RFQ information. The Issuing Office shall not be bound by any verbal information nor shall it be bound by any written information that is not either contained within the RFQ or formally issued as an addendum by the Issuing Office. The Issuing Office does not consider questions to be a protest of the specifications or of the solicitation.

I-7. Addenda to RFQ

If the Issuing Office deems it necessary to revise any part of this RFQ before the proposal response date, the Issuing Office will post an addendum to the DGS website. Answers to the questions asked during the questions and answer period will also be posted to the DGS website as an addendum to the RFQ.

I-8. Electronic Version of RFQ

This RFQ is being made available by electronic means. The Contractor acknowledges and accepts full responsibility to insure that no changes are made to the RFQ. In the event of a conflict between a version of the RFQ in the Contractor's possession and the Issuing Office's version of the RFQ, the Issuing Office's version shall govern.

I-9. Response Date

To be considered, proposals must arrive at the Issuing Office on or before the time and date specified in the RFQ Calendar of Events. Contractors which mail proposals should allow sufficient mail delivery time to ensure timely receipt of their proposals. If, due to inclement weather, natural disaster, or any other cause, the Issuing Office location to which proposals are to be returned is closed on the proposal response date, the deadline for submission shall be automatically extended until the next Commonwealth business day on which the office is open, unless the Issuing Office otherwise notifies Contractors by posting an Addendum to the RFQ. The time for submission of proposals shall remain the same. Late proposals will not be considered.

I-10. Incurring Costs

The Issuing Office is not liable for any costs the Contractor incurs in preparation and submission of its proposal, in participating in the RFQ process or in anticipation of award of a purchase order.

I-11. Economy Of Preparation

Contractors should prepare proposals simply and economically, providing a straightforward, concise description of the Contractor's ability to meet the requirements of the RFQ. Proposals are to be submitted on 8½ by 11 inch paper, 1 inch margins, 12-point font size with consecutive page numbers on the bottom. Duplex printing is acceptable and suggested. Please keep marketing materials to a minimum.

I-12. Small Diverse Business Information

The Issuing Office encourages participation by small diverse businesses as prime contractors, and encourages all prime contractors to make a significant commitment to use small diverse businesses as subcontractors and suppliers**.**

A Small Diverse Business is a DGS-certified minority-owned business, woman-owned business, veteran-owned business or service-disabled veteran-owned business.

A small business is a business in the United States which is independently owned, not dominant in its field of operation, employs no more than 100 full-time or full-time equivalent employees, and earns less than $7 million in gross annual revenues for building design, $20 million in gross annual revenues for sales and services and $25 million in gross annual revenues for those businesses in the information technology sales or service business.

Questions regarding this Program can be directed to:

Department of General Services
Bureau of Small Business Opportunities
Room 611, North Office Building
Harrisburg, PA 17125
Phone: (717) 783-3119
Fax: (717) 787-7052
Email: **gs-bsbo@pa.gov**
Website: www.dgs.state.pa.us

The Department's directory of BSBO-verified minority, women, veteran and service disabled veteran-owned businesses can be accessed from: Searching for Small Diverse Businesses.

I-13. Proposals

To be considered, Contractors should submit a complete response to this RFQ to the Issuing Office, using the format provided in Part II, providing **twelve (12)** paper copies of the Technical Submittal and **two (2)** paper copies of the Cost Submittal and **two (2)** paper copies of the Small Diverse Business (SDB) participation submittal. In addition to the paper copies of the proposal, Contractors shall submit two complete and exact copies of the entire proposal (Technical, Cost and SDB submittals, along with all requested documents) on CD-ROM or Flash drive in Microsoft Office or Microsoft Office-compatible format. The electronic copy must be a mirror image of the paper copy and any spreadsheets must be in Microsoft Excel. The Contractors may not lock or protect any cells or tabs. Contractors should ensure that there is no costing information in the technical submittal. Contractors should not reiterate technical information in the cost submittal. The CD or Flash drive should clearly identify the Contractor and include the name and version number of the virus scanning software that was used to scan the CD or Flash drive before it was submitted. The Contractor shall make no other distribution of its proposal to any other Contractor or Commonwealth official or Commonwealth consultant. Each proposal page should be numbered for ease of reference. An official authorized to bind the Contractor to its provisions must sign the proposal. If the official signs the Proposal Cover Sheet (**Appendix A** to this RFQ) and the Proposal Cover Sheet is attached to the Contractor's proposal, the requirement will be met. For this RFQ, the proposal must remain valid until a purchase order is issued. If the Issuing Office selects the Contractor's proposal for award, the contents of the selected Contractor's proposal will become, except to the extent the contents are changed through Best and Final Offers or negotiations, contractual obligations.

Each Contractor submitting a proposal specifically waives any right to withdraw or modify it, except that the Contractor may withdraw its proposal by written notice received at the Issuing Office's address for proposal delivery prior to the exact hour and date specified for proposal receipt. A Contractor or its authorized representative may withdraw its proposal in person prior to the exact hour and date set for proposal receipt, provided the withdrawing person provides appropriate identification and signs a receipt for the proposal. A Contractor may modify its submitted proposal prior to the exact hour and date set for proposal receipt only by submitting a new sealed proposal or sealed modification which complies with the RFQ requirements.

I-14. Alternate Proposals

The Issuing Office will not accept alternate proposals.

I-15. Proposal Contents

A. Confidential Information. The Commonwealth is not requesting, and does not require, confidential proprietary information or trade secrets to be included as part of Contractors' submissions in order to evaluate proposals submitted in response to this RFQ. Accordingly, except as provided herein, Contractors should not label proposal submissions as confidential or proprietary or trade secret protected. Any Contractor who determines that it must divulge such information as part of its proposal must submit the signed written statement described in subsection c. below and must additionally provide a redacted version of its proposal, which removes only the confidential proprietary information and trade secrets, for required public disclosure purposes.

B. Commonwealth Use. All material submitted with the proposal shall be considered the property of the Commonwealth of Pennsylvania and may be returned only at the Issuing Office's option. The Commonwealth has the right to use any or all ideas not protected by intellectual property rights that are presented in any proposal regardless of whether the proposal becomes part of a purchase order. Notwithstanding any Contractor copyright and/or trademark designations contained on proposals, the Commonwealth shall have the right to make copies and distribute proposals internally and to comply with public record or other disclosure requirements under the provisions of any Commonwealth or United States statute or regulation, or rule or order of any court of competent jurisdiction.

C. Public Disclosure. After the award of a contract pursuant to this RFQ, all proposal submissions are subject to disclosure in response to a request for public records made under the Pennsylvania Right-to-Know-Law, 65 P.S. § 67.101, et seq. If a proposal submission contains confidential proprietary information or trade secrets, a signed written statement to this effect must be provided with the submission in accordance with 65 P.S. § 67.707(b) for the information to be considered exempt under 65 P.S. § 67.708(b) (11) from public records requests (*See* **Appendix D, Trade Secret/Confidential Proprietary Information Notice** and *See* **Appendix E, Trade Secret/ Confidential Information and Public Notice.**). Financial capability information submitted in response to **Part II, Section II-8** of this RFQ is exempt from public records disclosure under 65 P.S. § 67.708(b) (26).

I-16. Contractor's Representations and Authorizations

By submitting its proposal, each Contractor understands, represents, and acknowledges that:

A. All of the Contractor's information and representations in the proposal are true, correct, material and important, and the Issuing Office may rely upon the contents of the proposal in making an award. The Commonwealth shall treat any misstatement, omission or misrepresentation as fraudulent concealment of the true facts relating to the proposal submission, punishable pursuant to 18 Pa. C.S. § 4904.

B. The Contractor has arrived at the price(s) and amounts in its proposal independently and without consultation, communication, or agreement with any other Contractor or potential Contractor.

C. The Contractor has not disclosed the price(s), the amount of the proposal, nor the approximate price(s) or amount(s) of its proposal to any other firm or person who is a Contractor or potential Contractor for this RFQ, and the Contractor shall not disclose any of these items on or before the proposal submission deadline specified in the Calendar of Events of this RFQ.

D. The Contractor has not attempted, nor will it attempt, to induce any firm or person to refrain from submitting a proposal on this purchase order, or to submit a proposal higher than this proposal, or to submit any intentionally high or noncompetitive proposal or other form of complementary proposal.

E. The Contractor makes its proposal 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 proposal.

F. To the best knowledge of the person signing the proposal for the Contractor, the Contractor, its affiliates, subsidiaries, officers, directors, and employees are not currently under investigation by any Local, State, or Federal governmental agency and have not in the last **four** years been convicted or found liable for any act prohibited by Local, State or Federal law in any jurisdiction, involving conspiracy or collusion with respect to bidding or proposing on any public contract, except as the Contractor has disclosed in its proposal.

G. To the best of the knowledge of the person signing the proposal for the Contractor and except as the Contractor has otherwise disclosed in its proposal, the Contractor has no outstanding, delinquent obligations to the Commonwealth including, but not limited to, any state tax liability not being contested on appeal or other obligation of the Contractor that is owed to the Commonwealth.

H. The Contractor is not currently under suspension or debarment by the Commonwealth, any other state or the federal government, and if the Contractor cannot so certify, then it shall submit along with its proposal a written explanation of why it cannot make such certification.

I. The Contractor has not made, under separate contract with the Issuing Office, any recommendations to the Issuing Office concerning the need for the services described in its proposal or the specifications for the services described in the proposal. (*See* Pennsylvania State Adverse Interest Act)

J. The Contractor, by submitting its proposal, authorizes Commonwealth agencies to release to the Commonwealth information concerning the Contractor's Pennsylvania taxes, unemployment compensation and workers' compensation liabilities.

K. The selected Contractor shall not begin to perform until it receives purchase order from the Commonwealth.

I-17. Restriction Of Contact

From the issue date of this RFQ until the Issuing Office selects a proposal for award, the Issuing Officer is the sole point of contact concerning this RFQ. Any violation of this condition may be cause for the Issuing Office to reject the offending Contractor's proposal. If the Issuing Office later discovers that the Contractor has engaged in any violations of this condition, the Issuing Office may reject the offending Contractor's proposal or rescind its purchase order award. Contractors must agree not to distribute any part of their proposals beyond the Issuing Office. A Contractor who shares information contained in its proposal with other Commonwealth personnel and/or competing Contractor personnel may be disqualified.

I-18. Prime Contractor Responsibilities

The selected Contractor will be required to assume responsibility for all services offered in its proposal whether it produces them itself or by subcontract. The Issuing Office and Project Manager will consider the selected Contractor to be the sole point of contact with regard to contractual and purchase order matters.

I-19. Resources

Contractors shall provide all services, supplies, facilities, and other support necessary to complete the identified work, except as otherwise provided in this **Part I-19** and any other resources as listed in **Section IV-4. Tasks E. Work Locations & Hours of Operation.**

I-20. Rejection Of Proposals

The Issuing Office reserves the right, in its sole and complete discretion, to reject any proposal received in response to this RFQ, or to negotiate separately with competing Contractors.

I-21. Discussions for Clarification

Contractors may be required to make an oral or written clarification of their proposals to the Issuing Office to ensure thorough mutual understanding and contractor responsiveness to the solicitation requirements. The Issuing Office will initiate requests for clarification. Clarifications may occur at any stage of the evaluation and selection process prior to issuance of a purchase order.

I-22. Best and Final Offer (BAFO)

A. While not required, the Issuing Office reserves the right to conduct discussions with Contractors for the purpose of obtaining "Best and Final Offers." To obtain Best and Final Offers from Contractors, the Issuing Office may do one or more of the following, in combination and in any order:

1. Schedule oral presentations;

2. Request revised proposals;

3. Conduct a reverse online auction; and

4. Enter into pre-selection negotiations.

B. The following offerors will **not** be invited by the Issuing Office to submit a Best and Final Offer:

1. Those Contractors which the Issuing Office has determined to be not responsible or whose proposals the Issuing Office has determined to be not responsive.

2. Those Contractors, which the Issuing Office has determined in accordance with **Part III, Section III-5**, from the submitted and gathered financial and other information, do not possess the financial capability, experience or qualifications to assure good faith performance of the purchase order.

3. Those Contractors whose score for their technical submittal of the proposal is less than 70% of the total amount of technical points allotted to the technical criterion.

The Issuing Office may further limit participation in the Best and Final Offers process to those remaining responsible Contractors which the Issuing Office has, within its discretion, determined to be within the top competitive range of responsive proposals.

C. Evaluation Criteria found in **Part III, Section III-4**, shall also be used to evaluate the Best and Final Offers.

D. Price reductions offered through any reverse online auction shall have no effect upon the Offeror's Technical Submittal. Dollar commitments to Small Diverse Businesses can be reduced only in the

same percentage as the percent reduction in the total price offered through any reverse online auction or negotiations.

I-23. Notification of Selection

A. Negotiations. The Issuing Office will notify all offerors in writing of the Contractor selected for negotiations after the Issuing Office has determined, taking into consideration all of the evaluation factors, the proposal that is the most advantageous to the Issuing Office.

B. Award. Offerors whose proposals are not selected will be notified when negotiations have been successfully completed and the final negotiated purchase order has been issued to the selected Contractor.

I-24. Purchase Order

The successful Contractor will be issued a purchase order with reference to **IT ITQ Contract #4400004480**. The term of the purchase order will commence on the Effective Date and will end in three (3) years. The Commonwealth, at its sole option, may renew the purchase order for up to an additional two (2) years. The Commonwealth may exercise the renewal(s) in single or multiple year increments, at any time during the purchase order. No work may begin or be reimbursed prior to issuance of the purchase order. The selected Contractor will be paid after submitting invoices, provided it is in accordance with the work plan and approved by the Commonwealth Project Manager. Final payment will not be made until all Project work has been successfully completed.

I-25. Debriefing Conferences

Upon notification of award, Contractors whose proposals were not selected will be given the opportunity to be debriefed. The Issuing Office will schedule the debriefing at a mutually agreeable time. The debriefing will not compare the Contractor with other Contractors, other than the position of the Contractor's proposal in relation to all other Contractor proposals.

I-26. News Releases

Contractors shall not issue news releases, internet postings, advertisements or any other public communications pertaining to this Project without prior written approval of the Issuing Office, and then only in coordination with the Issuing Office.

I-27. Terms and Conditions

The requirements and terms and conditions of **IT ITQ Contract #4400004480** shall govern the purchase order issued as a result of this RFQ.

I-28. Information Technology Policies

This RFQ is subject to the Information Technology Policies (ITP's) {formerly known as Information Technology Bulletins} issued by the Office of Administration, Office for Information Technology (OA-OIT). ITP's may be found at http://www.portal.state.pa.us/portal/server.pt?open=512&objID=416&PageID=210791&mode=2

All proposals must be submitted on the basis that all ITP's are applicable to this procurement. It is the responsibility of the Contractor to read and be familiar with the ITP's. Notwithstanding the foregoing, if the Contractor believes that any ITP is not applicable to this procurement, it must list all such ITP's in its technical response, and explain why it believes the ITP is not applicable. The Issuing Office may, in its sole discretion, accept or reject any request that an ITP not be considered to be applicable to the procurement. The Contractor's failure to list an ITP will result in its waiving its right to do so later, unless the Issuing Office, in its sole discretion, determines that it would be in the best interest of the Commonwealth to waive the pertinent ITPs.

PART II

PROPOSAL REQUIREMENTS

II-1. General Requirements

Contractors must submit their proposals in the format, including heading descriptions, outlined below. To be considered, the proposal must respond to all requirements in this part of the RFQ. Contractors should provide any other information thought to be relevant, but not applicable to the enumerated categories, as an appendix to the Proposal. All cost data relating to this proposal and all Small Diverse Business cost data should be kept separate from and not included in the Technical Submittal. Each Proposal shall consist of the following **three (3)** separately sealed submittals:

A. Technical Submittal, which shall be a response to RFQ **Part II, Sections II-1 through II-9 and** ;

B. Small Diverse Business participation submittal, in response to RFQ **Part II, Section II-10**; and

C. Cost Submittal, in response to RFQ **Part II, Section II-11.**

The Issuing Office reserves the right to request additional information which, in the Issuing Office's opinion, is necessary to assure that the Contractor's competence, number of qualified employees, business organization, and financial resources are adequate to perform according to the RFQ.

The Issuing Office may make investigations as deemed necessary to determine the ability of the Contractor to perform the Project, and the Contractor shall furnish to the Issuing Office all requested information and data. The Issuing Office reserves the right to reject any proposal if the evidence submitted by, or investigation of, such Contractor fails to satisfy the Issuing Office that such Contractor is properly qualified to carry out the obligations of the RFQ and to complete the Project as specified.

II-2. Statement of the Problem

State in succinct terms your understanding of the problem presented or the service required by this RFQ.

II-3. Management Summary

Include a narrative description of the proposed effort and a list of the items to be delivered or services to be provided.

II-4. Work Plan

Describe in narrative form your technical plan for accomplishing the work. Use the task descriptions in **Part IV** of this RFQ as your reference point. Modifications of the task descriptions are permitted; however, reasons for changes should be fully explained. Indicate the number of person hours allocated to each task. Include a Program Evaluation and Review Technique (PERT) or similar type display, time related, showing each event. If more than one approach is apparent, comment on why you chose this approach.

II-5. Prior Experience

Experience shown should be work done by individuals who will be assigned to this project as well as experience of the company. Studies or projects referred to must be identified and the name of the customer shown, including the name, address, telephone number and email address of the responsible official of the customer, company, or agency who may be contacted.

Include experience in Project Management, IV&V services, IT system conversions, data migration, unemployment benefits, software development, SDLC, and any other experience as listed in **Section IV-3.a Contractor Qualifications**.

To the extent possible, references should be selected to represent projects of similar size and complexity to the project described in this RFQ using **Appendix G, Project References**. The Commonwealth at its sole discretion may request references from any or all proposed subcontractors.

Contractor should provide details of any industry-recognized quality standard, to which it is compliant, as well as any industry certifications or awards received.

II-6. Personnel

Include the number of executive and professional personnel, analysts, auditors, researchers, programmers, consultants, etc., who will be engaged in the work. Show where these personnel will be physically located during the time they are engaged in the Project. All personnel assigned to the roles listed in section **IV-3.c Team Qualifications** are considered key personnel. For key personnel include the employee's name and, through a resume or similar document, the Project personnel's education and experience the role(s) they will be assigned on this project as described in section **IV-3.c Team Qualifications**. Indicate the responsibilities each individual will have in this Project and how long each has been with your company. Identify by name any subcontractors you intend to use and the services they will perform. For all key personnel, please complete **Appendix H, Personnel Experience by Key Position**.

Resumes are not to include personal information that will, or will be likely to, require redaction prior to release of the proposal under the Right to Know Law. This includes home addresses and phone numbers, Social Security Numbers, Drivers' License numbers or numbers from state ID cards issued in lieu of a Drivers' License, financial account numbers, etc. If the Commonwealth requires any of this information for security verification or other purposes, the information will be requested separately and as necessary.

II-7. Training

If appropriate, indicate recommended training of agency personnel. Include the agency personnel to be trained, the number to be trained, duration of the program, place of training, curricula, training materials to be used, number and frequency of sessions, and number and level of instructors.

II-8. Financial Capability

Describe your company's financial stability and economic capability to perform the Project requirements. Provide your company's financial statements for the past two (2) fiscal years. If your company is a publicly traded company, please provide a link to your financial records on your company website; otherwise, provide two (2) years of your company's financial documents such as audited financial statements. Financial statements must include the company's Balance Sheet and Income Statement or Profit/Loss Statements. Also include a Dun & Bradstreet comprehensive report if available. The Commonwealth reserves the right to request additional information it deems necessary to evaluate a Contractor's financial capability.

II-9. Emergency Preparedness

To support continuity of operations during an emergency, including a pandemic, the Commonwealth needs a strategy for maintaining operations for an extended period of time. One part of this strategy is to ensure that essential contracts that provide critical business services to the Commonwealth have planned for such an emergency and put contingencies in place to provide needed goods and services.

A. Describe how Contractor anticipates such a crisis will impact its operations.

B. Describe Contractor's emergency response continuity of operations plan. Attach a copy of the plan, or at a minimum, summarize how the plan addresses the following aspects of pandemic preparedness:

1. Employee training (describe Contractor's training plan, and how frequently it will be shared with employees)

2. Identified essential business functions and key employees (within Contractor's organization) necessary to carry them out

3. Contingency plans for:

   - How Contractor will handle staffing issues when a portion of key employees are incapacitated due to illness.

   - How Contractor employees will carry out the essential functions if contagion control measures prevent them from coming to the primary workplace.

4. How Contractor will communicate with staff and suppliers when primary communications systems are overloaded or otherwise fail, including key contacts, chain of communications (including suppliers), etc.

5. How and when Contractor's emergency plan will be tested, and if the plan will be tested by a third-party.

II-10. Small Diverse Business Participation Submittal

A. To receive credit for being a Small Diverse Business or for subcontracting with a Small Diverse Business (including purchasing supplies and/or services through a purchase agreement), a Contractor must include proof of Small Diverse Business qualification in the Small Diverse Business participation submittal of the proposal, as indicated below:

1. A Small Diverse Business verified by BSBO as a Small Diverse Business must provide a photocopy of their verification letter.

B. In addition to the above verification letter, the Contractor must include in the Small Diverse Business participation submittal of the proposal the following information:

1. ***All*** Contractors must include a numerical percentage which represents the total percentage of the work (as a percentage of the total cost in the Cost Submittal) to be performed by the Contractor and not by subcontractors and suppliers.

2. ***All*** Contractors must include a numerical percentage which represents the total percentage of the total cost in the Cost Submittal that the Contractor commits to paying to Small Diverse Businesses (SDBs) as subcontractors. To support its total percentage SDB subcontractor commitment, Contractor must also include:

   a. The percentage and dollar amount of each subcontract commitment to a Small Diverse Business;

b. The name of each Small Diverse Business. The Contractor will not receive credit for stating that after the purchase order is awarded it will find a Small Diverse Business.
c. The services or supplies each Small Diverse Business will provide, including the timeframe for providing the services or supplies.
d. The location where each Small Diverse Business will perform services.
e. The timeframe for each Small Diverse Business to provide or deliver the goods or services.
f. A subcontract or letter of intent signed by the Contractor and the Small Diverse Business (SDB) for each SDB identified in the SDB Submittal. The subcontract or letter of intent must identify the specific work, goods or services the SDB will perform, how the work, goods or services relates to the project, and the specific timeframe during the term of the purchase order and any option/renewal periods when the work, goods or services will be performed or provided. In addition, the subcontract or letter of intent must identify the fixed percentage commitment and associated estimated dollar value that each SDB will receive based on the total value of the initial term of the purchase order as provided in the Contractor's cost submittal. Attached is a Letter of Intent template which may be used to satisfy these requirements. (*See* **Appendix I, Small Diverse Business, Letter of Intent**.)
g. The name, address and telephone number of the primary contact person for each Small Diverse Business.

3. The total percentages and each SDB subcontractor commitment will become contractual obligations once the purchase order is issued.

4. The name and telephone number of the Contractor's project (contact) person for the Small Diverse Business information.

C. The Contractor is required to submit **two** copies of its Small Diverse Business participation submittal. The submittal shall be clearly identified as Small Diverse Business information and sealed in its own envelope, separate from the remainder of the proposal.

D. A Small Diverse Business can be included as a subcontractor with as many prime contractors as it chooses in separate proposals.

E. A Contractor that qualifies as a Small Diverse Business and submits a proposal as a prime Contractor is not prohibited from being included as a subcontractor in separate proposals submitted by other Contractors.

II-11. Cost Submittal

The information requested in this **Part II-11** and **Appendix C (Cost Matrix)** shall constitute the Cost Submittal. The Cost Submittal shall be placed in a separate sealed envelope within the sealed proposal and kept separate from the technical submittal. The total proposed cost must be broken down into the components listed on **Appendix C**.

Contractors should **not** include any assumptions in their cost submittals. If the Contractor includes assumptions in its cost submittal, the Issuing Office may reject the proposal. Contractors should direct in writing to the Issuing Office pursuant to **Part I, Section I-6** of this RFQ, any questions about whether a cost or other component is included or applies. All Contractors will then have the benefit of the Issuing Office's written answer so that all proposals are submitted on the same basis.

The Commonwealth will reimburse the selected Contractor for work satisfactorily performed after issuance of a purchase order and the start of the purchase order term, in accordance with Purchase order requirements.

II-12. Domestic Workforce Utilization

Contractors must complete and sign the Domestic Workforce Utilization Certification attached to this RFQ as **Appendix B**. Contractors who seek consideration for the Domestic Workforce Utilization Certification criterion must complete, sign, and submit the Domestic Workforce Utilization Certification Form in the same sealed envelope with the Technical Submittal.

II-13. Lobbying Certification and Disclosure of Lobbying Activities

This Project will be funded, in whole or in part, with federal monies. Public Law 101-121, Section 319, prohibits federal funds from being expended by the recipient or by any lower tier sub-recipients of a federal contract, grant, loan, or a cooperative agreement to pay any person for influencing, or attempting to influence a federal agency or Congress in connection with the awarding of any federal contract, the making of any federal grant or loan, or entering into any cooperative agreement. All parties who submit proposals in response to this RFQ must sign the "Lobbying Certification Form," (attached as **Appendix F**) and, if applicable, complete the "Disclosure of Lobbying Activities" form available at: http://www.whitehouse.gov/omb/assets/omb/grants/sflllin.pdf.

PART III

CRITERIA FOR SELECTION

III-1. Mandatory Responsiveness Requirements

To be eligible for evaluation, a proposal must:

A. Be timely received from a Contractor; and

B. Properly signed by a Contractor

III-2. Technical Nonconforming Proposals

The Mandatory Responsiveness Requirements set forth in Part III-1 above (a-b) are the only RFQ requirements that the Commonwealth will consider to be *non-waivable*. The Issuing Office reserves the right, in its sole discretion, to (1) waive any other technical or immaterial nonconformities in a Contractor's proposal, (2) allow the Contractor to cure the nonconformity, or (3) consider the nonconformity in the scoring of the Contractor's proposal.

III-3. Evaluation

The Issuing Office has selected a committee of qualified personnel to review and evaluate timely submitted proposals. Independent of the committee, BSBO will evaluate the Small Diverse Business participation submittal and provide the Issuing Office with a rating for this component of each proposal. The Issuing Office will notify in writing of its selection for negotiation the responsible Contractor whose proposal is determined to be the most advantageous to the Commonwealth as determined by the Issuing Office after taking into consideration all of the evaluation factors.

III-4. Evaluation Criteria

The following criteria will be used in evaluating each proposal:

A. **Technical:**

The Issuing Office has established the weight for the Technical criterion for this RFQ as **50%** of the total points. Evaluation will be based upon the following:

- Soundness of Approach
- Personnel / Contractor Qualifications
- Understanding the Problem

The final Technical scores are determined by giving the maximum number of technical points available to the proposal with the highest raw technical score. The remaining proposals are rated by applying the Technical Scoring Formula set forth at the following webpage: http://www.portal.state.pa.us/portal/server.pt/community/RFQ_scoring_formulas_overview/20124.

B. **Cost:**

The Issuing Office has established the weight for the Cost criterion for this RFQ as **30%** of the total points. The cost criterion is rated by giving the proposal with the lowest total cost the maximum number of Cost points available. The remaining proposals are rated by applying the Cost Formula set forth at the following webpage: http://www.portal.state.pa.us/portal/server.pt/community/RFQ_scoring_formulas_overview/20124

C. **Small Diverse Business Participation:**
BSBO has established the weight for the Small Diverse Business (SDB) participation criterion for this RFQ as **20%** of the total points. Each SDB participation submittal will be rated for its approach to enhancing the utilization of SDBs in accordance with the below-listed priority ranking and subject to the following requirements:

1. A business submitting a proposal as a prime Contractor must perform 60% of the total purchase order value to receive points for this criterion under any priority ranking.
2. To receive credit for an SDB subcontracting commitment, the SDB subcontractor must perform at least fifty percent (50%) of the work subcontracted to it.
3. A significant subcontracting commitment is a minimum of five percent (5%) of the total purchase order value.
4. A subcontracting commitment less than five percent (5%) of the total purchase order value is considered nominal and will receive reduced or no additional SDB points depending on the priority ranking.

Priority Rank 1: Proposals submitted by SDBs as prime contractors will receive 150 points. In addition, SDB prime contractors that have significant subcontracting commitments to additional SDBs may receive up to an additional 50 points (200 points total available).

Subcontracting commitments to additional SDBs are evaluated based on the proposal offering the highest total percentage SDB subcontracting commitment. All other Contractors will be scored in proportion to the highest total percentage SDB subcontracting commitment within this ranking. See formula below.

Priority Rank 2: Proposals submitted by SDBs as prime Contractors, with no or nominal subcontracting commitments to additional SDBs, will receive 150 points.

Priority Rank 3: Proposals submitted by non-small diverse businesses as prime Contractors, with significant subcontracting commitments to SDBs, will receive up to 100 points. Proposals submitted with nominal subcontracting commitments to SDBs will receive points equal to the percentage level of their total SDB subcontracting commitment.

SDB subcontracting commitments are evaluated based on the proposal offering the highest total percentage SDB subcontracting commitment. All other Contractors will be scored in proportion to the highest total percentage SDB subcontracting commitment within this ranking. See formula below.

Priority Rank 4: Proposals by non-small diverse businesses as prime Contractors with no SDB subcontracting commitments shall receive no points under this criterion.

To the extent that there are multiple SDB Participation submittals in Priority Rank 1 and/or Priority Rank 3 that offer significant subcontracting commitments to SDBs, the proposal offering the highest total percentage SDB subcontracting commitment shall receive the highest score (or additional points) available in that Priority Rank category and the other proposal(s) in that

category shall be scored in proportion to the highest total percentage SDB subcontracting commitment. Proportional scoring is determined by applying the following formula:

SDB % Being Scored / *Highest % SDB Commitment* x *Points/Additional Points Available** = *Awarded/Additional SDB Points*

Priority Rank 1 = 50 Additional Points Available
Priority Rank 3 = 100 Total Points Available

Please refer to the following webpage for an illustrative chart which shows SDB scoring based on a hypothetical situation in which the Commonwealth receives proposals for each Priority Rank:
http://www.portal.state.pa.us/portal/server.pt/community/rfp_scoring_formulas_overview/20124

D. **Domestic Workforce Utilization:**
Any points received for the Domestic Workforce Utilization criterion are bonus points in addition to the total points for this RFQ. The maximum amount of bonus points available for this criterion is 3% of the total points for this RFQ.

To the extent permitted by the laws and treaties of the United States, each proposal will be scored for its commitment to use domestic workforce in the fulfillment of the purchase order. Maximum consideration will be given to those Contractors who will perform the contracted direct labor exclusively within the geographical boundaries of the United States or within the geographical boundaries of a country that is a party to the World Trade Organization Government Procurement Agreement. Those who propose to perform a portion of the direct labor outside of the United States and not within the geographical boundaries of a party to the World Trade Organization Government Procurement Agreement will receive a correspondingly smaller score for this criterion. See the following webpage for the Domestic Workforce Utilization Formula:

http://www.portal.state.pa.us/portal/server.pt/community/RFQ_scoring_formulas_overview/20124.
Contractors who seek consideration for this criterion must submit in hardcopy the signed Domestic Workforce Utilization Certification Form in the same sealed envelope with the Technical Submittal. The certification will be included as a contractual obligation when the purchase order is issued.

III-5. Contractor Responsibility

To be responsible, a Contractor must submit a responsive proposal and possess the capability to fully perform the purchase order requirements in all respects and the integrity and reliability to assure good faith performance of the purchase order.

In order for a Contractor to be considered responsible for this RFQ and therefore eligible for selection for best and final offers or selection for purchase order negotiations:

A. The total score for the technical submittal of the Contractor's proposal must be greater than or equal to **70%** of the **available technical points**; and

B. The Contractor's financial information must demonstrate that the Contractor possesses the financial capability to assure good faith performance of the contract. The Issuing Office will review the Contractor's previous two audited annual financial statements, any additional information received from the Contractor, and any other publicly-available financial information concerning the Contractor, and assess each Contractor's financial capacity based on calculating and analyzing various financial ratios, and comparison with industry standards and trends.

A Contractor which fails to demonstrate sufficient financial capability to assure good faith performance of the purchase order as specified herein may be considered by the Issuing Office, in its sole discretion, for Best and Final Offers or purchase order negotiations contingent upon such Contractor providing purchase order performance security, in a form acceptable to the Issuing Office, for twenty percent (20%) of the proposed value of the base term of the purchase order. Based on the financial condition of the Contractor, the Issuing Office may require a certified or bank (cashier's) check, letter of credit, or a performance bond conditioned upon the faithful performance of the purchase order by the Contractor. The required performance security must be issued or executed by a bank or surety company authorized to do business in the Commonwealth. The cost of the required performance security will be the sole responsibility of the Contractor and cannot increase the Contractor's cost proposal or the purchase order cost to the Commonwealth.

Further, the Issuing Office will award a purchase order only to a Contractor determined to be responsible in accordance with the most current version of Commonwealth Management Directive 215.9, Contractor Responsibility Program.

III-6. Final Ranking and Award

A. After any best and final offer process conducted, the Issuing Office will combine the evaluation committee's final technical scores, BSBO's final small diverse business participation scores, the final cost scores, and (when applicable) the domestic workforce utilization scores, in accordance with the relative weights assigned to these areas as set forth in this Part.

B. The Issuing Office will rank responsible Contractors according to the total overall score assigned to each, in descending order.

C. The Issuing Office must select for purchase order negotiations the Contractor with the highest overall score; PROVIDED, HOWEVER, THAT AN AWARD WILL NOT BE MADE TO A CONTRACTOR WHOSE PROPOSAL RECEIVED THE LOWEST TECHNICAL SCORE AND HAD THE LOWEST COST SCORE OF THE RESPONSIVE PROPOSALS RECEIVED FROM RESPONSIBLE CONTRACTORS. IN THE EVENT SUCH A PROPOSAL ACHIEVES THE HIGHEST OVERALL SCORE, IT SHALL BE ELIMINATED FROM CONSIDERATION AND AWARD SHALL BE MADE TO THE CONTRACTOR WITH THE NEXT HIGHEST OVERALL SCORE.

D. The Issuing Office has the discretion to reject all proposals or cancel the request for quotations, at any time prior to the time a purchase order is issued, when it is in the best interests of the Commonwealth. The reasons for the rejection or cancellation shall be made part of the purchase order file.

PART IV

WORK STATEMENT

IV-1. Objectives

A. General

The Department of Labor and Industry L&I is seeking to acquire project management services which include project planning and management, pre-solicitation activities, solicitation, and procurement activities for the replacement and modernization of the existing legacy IT systems for the Unemployment Compensation (UC) Benefits Program.

The selected Contractor shall supplement state expertise, provide unbiased feedback and support to L&I through the implementation of a future system. The contract shall include project management services as well as provide personnel on-demand for specific types of support required; from the development of a competitive procurement, selection of a solution and vendor, through implementation of the new UC benefits system and initial period of maintenance. In addition, the selected Contractor may be required to perform optional implementation oversight services.

The scope of the replacement system shall be the UC benefits and UC benefit appeals functionality, with an option to expand the scope to include additional UC tax functionality once the UC benefits functionality is in production.

See section IV-4. Tasks for additional details on tasks to be performed.

B. Specific

The selected Contractor shall be responsible for providing a lead project manager and support team to create a Project Management Office (PMO) to oversee the modernization of the IT legacy system for UC Benefits Program applications. The PMO shall review existing systems and workflows, conduct research, develop a project strategy, assist in gathering business requirements, serve as a Subject Matter Expert (SME) to assist in the development of an RFP for UC benefits systems replacement, and conduct quality assurance activities as related to implementation and operation of the UC benefits replacement system.

The PMO shall be responsible for the project management of the UC Benefits project for L&I, including; developing the overall strategy and plan to meet the goals and objectives outlined in the charter, gaining stakeholder agreement to the plan and establishing a budget. The PMO shall be responsible for the creation of the Development and Implementation solicitation, including the supporting documentation necessary to clearly articulate the technical requirements and business objectives of the new system. The PMO shall also be responsible for the development of an overall technology roadmap for the new system that leverages scalable technology which can accommodate and anticipate growth into the future, and uses technology assets that are included in the Commonwealth's technology architecture standards.

This RFQ does not include creating a solution. System design, development, deployment and/or support; hardware/software procurement are out of scope of this request.

The selected Contractor is precluded from proposing or acting as a contractor and/or subcontractor on any resulting solicitation from this effort. The selected Contractor must sign a preclusion statement acknowledging this fact.

IV-2. Nature and Scope of the Project

The project is being initiated by L&I's UC Benefits Program. The project shall result in the acquisition of a Project Manager (PM) for the creation and facilitation of a PMO that shall oversee the modernization effort of the existing IT legacy Unemployment Compensation Benefits system in its entirety.

The following provides a high-level overview of the L&I business and technical areas which support the payment of UC benefits:

Office of Information Technology (OIT)

- See **Appendix K OIT Organizational Background**

OIT Bureau of Business Application Development (BBAD)

- UC Division
- Vocational Rehabilitation, Safety and Labor / Management Relations Division
- Compensation and Insurance Division
- Workforce Development Division

OIT Bureau of Infrastructure and Operations (BIO)

- Infrastructure Division
- Server Farm Operations Division
- Mainframe Operations Division
- Network Support Services Division

OIT Bureau of Enterprise Services (BES)

- Project Management Division
- Customer Relations Division
- Security Division
- Business Center of Excellence Division
- Financial & Administrative Services Division

OIT Bureau of Enterprise Architecture (BEA)

- Engineering & Research Division
- Standards Development & Compliance Division
- Data Management & Database Operations Division

The mission of the Department is to deliver UC benefits to Pennsylvania's unemployed workers.

The office of UC Benefits – Policy (OUCB-Policy) is responsible for:

- Administering the delivery of UC benefits in accordance with applicable Federal and State laws, regulations and policies.
- Administering the delivery of UC benefits within the criteria established by the United States Department of Labor (USDOL) through the Unemployment Insurance (UI) Performs performance management system.
- Authorizing the payment of UC benefits
- Developing, implementing, modifying and overseeing UC benefit delivery system and payment procedures for the statewide payment of UC benefits.
- Planning acquisition and implementation of information technology and other infrastructure system to support UC benefit payment.
- Processing various claims, payment, benefit charges and customer support functions.
- Conducting special policy and procedural studies regarding the UC benefit program, including the analysis of proposed legislation and regulations.
- Maintaining accurate up-to-date wage and credit week information on PA covered employers, maintaining interfaces to send and receive wages for Out-of-State or Federal

employers and determining the financial eligibility of persons applying for UC benefits in PA.

- Coordinating with the Pennsylvania Treasury Department, the Comptroller's Office and the Direct Deposit vendor regarding the issuance of UC benefit funds.
- Planning, directing and controlling overpayment activities on a statewide basis in accordance with the standards established by the USDOL.
- Coordinates data exchanges with other agencies to prevent and detect overpayments.
- Reviews, monitors and evaluates the detection, recovery and prosecution processes.
- Maintains the EASE system.
- Reviews and issues determinations on employers' inquiries regarding benefit charges, processes relief from charge appeals, verifies that the proper charges are made to employers'' accounts and makes adjustments as necessary to maintain accurate benefit charge balances for the calculation of individual employer contribution rate.
- Coordinates with other states and the Federal government to resolve issues with claimants who have worked in a state other than Pennsylvania and/or for the Federal government in Military or Civilian roles.
- Provides policy and procedural oversight for UC programs that are partly or wholly federally funded, including benefits payable under the Trade or Disaster programs.
- Coordinates eligibility of individuals under the Federal Health Coverage Tax Credit (HCTC) program.
- Administers the Benefit Accuracy Measurement (BAM) program as part of the UI Quality Control program required by USDOL.
- Processes UC payments and claims adjustments under Federal and PA UC Laws as the result of the determination of overpayment through the eligibility and appeal process.
- Performs collection activities for overpayments, including coordinating with the Office of Chief Counsel, Commonwealth Magistrates and Philadelphia District Attorney's office for collection activities, such as prosecutions and liens.
- Responds to inquiries from employers, including disclosure requests and subpoenas for information.

The Office of UC Service Centers (UCSC) is responsible for processing, adjudicating, and paying UC claims filed in Pennsylvania, as well as providing linkages to reemployment services. UC Service Centers are located geographically throughout Pennsylvania providing direct services to the unemployed worker. The initial claims process requires gathering pertinent information from claimants regarding their previous employment. The continued claims process determines both monetary and non-monetary eligibility for payment of compensation under PA UC Law. UCSC Staff investigate monetary eligibility issues and conduct fact-finding to determine eligibility for non-monetary issues.

Individuals have the option to file their claim via telephone, Internet and in some cases on paper. In addition, an Interactive Voice Response (IVR) is available to apply for continuing weeks. UCSC utilizes an Automated Call Distribution (ACD) System to manage calls.

- UCSC staff process all UC claims and provide a full range of services for state and federal UC programs including taking initial applications for benefits, determining eligibility, processing biweekly claims and connecting claimants to reemployment services.
- Train staff on UC claims processing, adjudications and UC-related initiatives.
- Acquires implements and maintains new technologies to enhance UC claim processing in a call center environment.
- Coordinates UC policy and procedural implementation with OUCB-Policy.

- Monitors budget, personnel, training, labor relations, property management, purchasing and other support services.
- Manages staffing by predicting and adjusting the utilization of Intermittent Intake Interviewers during the peak workload periods.
- Provides services to persons with limited English proficiency.
- Develops marketing and survey materials to acquire and analyze customer feedback.
- Implements corrective action plans, as needed, to meet the USDOL quality and timeliness requirements.

The UC Board of Review (UCBR) has the responsibility to adjudicate appeals regarding eligibility for UC throughout the Commonwealth. This activity is divided into multiple levels of authority. The lower level of authority, commonly referred to as the referee level, is responsible for processing and conducting appeal hearings on eligibility determinations issued by the UCSCs. This activity includes receiving documentation from the UCSC, creating an appeal case, preparing the documents for hearings, scheduling the hearings, conducting the hearings, preparation and issuance of referee decisions.

The higher level of authority, Board level, is responsible for adjudicating appeals from referee decisions. A three-member Board adjudicates entitlement for UC benefits using testimony from the first level appeal, additional documents, evidence and/or testimony received from the parties involved, as well as written legal opinions concerning the merits provided by the Board legal staff. Receipt and preparation of appeals for review by the Board's legal staff and Board members is carried out by UCBR Central Office Appeals staff.

Appeals to the Board's decision, are made to Commonwealth Court. The Board's function in this level of appeal is to provide records and, as required, the Board's legal staff provides legal representation for the Board and the Department.

Appeal cases must be tracked throughout the process to ensure accurate payment of UC benefits when the case is considered final.

IV-3. Requirements Contractors shall describe how it will meet the requirements as described below:

A. **Contractor Qualifications.** The selected Contractor shall meet the following minimum qualifications**:**

1. Managed project(s) of similar size, scope, technology and subject matter.
2. Managed at least two projects where the Prime Contractor served as the PMO support of a legacy system (outdated technology) replacement project. Contractors shall include both private and public sector system experience. Public sector experience is preferred.
3. Managed at least one project where the Prime Contractor served as the PMO support of a state unemployment benefits legacy system replacement project.
4. Experience with industry best practices such as software development life cycle (SDLC).
5. Experience overseeing implementation of Commercial Off the Shelf (COTS) products to support unemployment benefits.
6. Experience overseeing data conversion from a legacy system, including flat files to a relational database.
7. Experience overseeing the design, development and deployment of a new system.
8. Experience with implementing systems subject to state and federal performance and audit requirements.
9. Experience conducting gap analysis between requirements and systems currently in production.

B. **Project Team.**

1. The selected Contractors project team shall consist of at a minimum the roles as described in section IV-3.c Team Qualifications (team members, except the project manager, may hold multiple roles).
2. Provide sufficient staffing numbers and expertise to create and maintain a PMO which can efficiently perform the tasks as described in this RFQ and deliver quality deliverables.
    1) The project manager assigned to this project must be 100% dedicated to this project.

C. **Team Qualifications**. The selected Contractors project team shall meet the minimum qualifications as described below. Contractor staff must have experience for any role they are assigned as part of this project and all team members must have a demonstrated ability to work effectively as a member of a project team.

1. Project Manager
    1) PMI PMP certified
    2) Managed IT project(s) of similar size and scope
    3) Three (3) years of experience in verbal and written communications with clients and technical staff in English
    4) Three (3) years of UI experience

2. Project Scheduler
    1) Experience working within a project environment
    2) One (1) year of eexperience in IT project scheduling
    3) Demonstrated experience with systems development lifecycles (SDLC)
    4) Two (2) years of experience in verbal and written communications with clients and technical staff in English

3. Business Architect
    1) Bachelor's degree in Computer Science, Information Technology or related field
    2) Five (5) years of experience in IT Operations or a technology related area
    3) Two (2) years of experience in developing technology solutions for business
    4) Three (3) years of experience in verbal and written communications with clients and technical staff in English
    5) Experience developing and using high-level models as required to collect, aggregate or disaggregate complex information about the business
    6) Extensive experience planning and deploying either business or IT initiatives
    7) Experience modeling business processes using a variety of tools and techniques
    8) Experience with UI system integration efforts
    9) Experience evaluating current and future technology needs
    10) Experience assessing the pros and cons of proposed solutions
    11) Experience assessing performance, cost, security, scalability, maintainability, and usability

4. Business Analyst
    1) Experience in functional and technical requirements gathering
    2) Demonstrated experience of the SDLC
    3) Three (3) years of experience leading information gathering sessions to capture and document business requirements, business processes, and technical considerations

4) Three (3) years of experience performing complex task analysis to evaluate task flow for applications and web sites
5) Three (3) years of experience producing technical documents such as business requirements documents, use cases, and business specifications
6) Three (3) years of experience in verbal and written communications with clients and technical staff in English
7) Three (3) years of experience leading review sessions to discuss draft documentation and determine the appropriate revisions
8) One (1) year of experience with UI.

5. Technical Writer
   1) Three (3) years of experience in verbal and written communications with clients and technical staff in English
   2) Experience developing User Documentation
   3) Experience developing Technical Documentation
   4) Experience developing Project Process Documentation for Application Teams

6. Solutions Architect
   1) Three (3) years of experience in verbal and written communications with clients and technical staff in English
   2) Product development experience
   3) Bachelor's degree in Computer Science, Information Technology or related field
   4) Minimum of 5 years of experience designing, developing and evaluating large logical and physical data models (500+ tables) using tools similar to and including Erwin/ERX and IBM Rational Rose
   5) Five (5) years of experience in database development and administration using Oracle version 9i or newer in web-based environment. Experience working with Oracle 11g preferred
   6) Five (5) years of experience providing database modeling/DBA services on large, complex multi-year systems development projects (similar in size and scope to the L&I UC Benefits system
   7) Five (5) years of experience performing tuning/troubleshooting of database management systems
   8) Five (5) years of experience conducting database design reviews, reviewing project requirements, identifying entities, attributes and relationship and determining impacts of database changes
   9) Five (5) years of experience developing and enforcing database standards

7. Data Architect
   1) Three (3) years of experience creating and maintaining end to end data architectures
   2) Three (3) years of experience in logical, access, and physical, data modeling
   3) Three (3) years of experience in normalized and dimensional data modeling techniques
   4) Three (3) years of experience with data analysis and mapping
   5) Three (3) years of experience working with modeling tools
   6) Three (3) years of experience using data warehouse, business intelligence and analytics products
   7) Three (3) years of experience in verbal and written communications with clients and technical staff in English

8. Extract Transform Load (ETL) specialist
    1) Three (3) years of experience with SQL on a major relational database management system
    2) Two (2) years of experience loading large amounts of data into database for testing and data conversion purposes
    3) Demonstrated experience with IMS databases, DB2, and flat files
    4) One (1) year of experience preparing smaller testing subsets of data from a larger production database
    5) Three (3) or more years of experience in verbal and written communication with clients in English

9. Infrastructure Architect
    1) Bachelor's degree in Computer Science, Information Technology or related field
    2) Experience creating infrastructure designs and documentation for large and complex IT solutions
    3) Five (5) years of experience managing at least three (3) very large data base projects, both in a mainframe and web environment
    4) Three (3) years of experience with technical leadership directly contributing to production software
    5) Three (3) years of experience in verbal and written communications with clients and technical staff in English

10. Integration / Configuration Specialist
    1) Three (3) years of experience with configuration management, including version control integrated within a software development life cycle
    2) Two (2) years of experience scripting build processes for large applications using Unix scripting, DOS scripting, and SQL scripting for performing database modifications and updates.
    3) Three (3) years of experience in verbal and written communications with clients and technical staff in English

11. Source code auditor
    1) Three (3) years of experience auditing complex systems in java, .NET, or C
    2) Three (3) years of experience in verbal and written communications with clients and technical staff in English
    3) Demonstrated experience in identifying security issues and identifying potential programming issues which may result in unauthorized access to systems

12. Quality assurance manager
    1) Five (5) years of experience designing and developing product testing and quality processes
    2) Demonstrated experience reviewing defects and assessing product quality
    3) Demonstrated experience reviewing for requirements and design quality
    4) IV&V experience for implementation and operation of complex systems is preferred
    5) Three (3) years of experience in verbal and written communications with clients and technical staff in English

13. Quality assurance architect
    1) Three (3) years of experience designing and developing product testing and quality processes

2) Demonstrated experience reviewing defects and assessing product quality
3) Demonstrated experience reviewing for requirements and design quality
4) IV&V experience for implementation and operation of complex systems is preferred
5) Three (3) years of experience in verbal and written communications with clients and technical staff in English

14. Testing Technician
1) Three (3) or more years of experience writing test documentation, including test plans and test scripts
2) Three (3) years of experience evaluating, recommending, and implementing automated test tools and strategies
3) Three (3) years of experience executing test cases and analyzing test outcomes
4) Three (3) years of experience documenting testing status and managing the testing process, including test defect logs
5) Three (3) years of experience in verbal and written communication with clients in English

15. Usability Testing Specialist
1) Two (2) years of experience assisting development teams in the design and development of usability test plans, scenarios, and scripts.
2) Two (2) of experience creating and executing test cases for web sites and software applications
3) Three (3) or more years of experience in verbal and written communication with clients in English

16. Policy Writer
1) Five (5) years of experience in verbal and written communications with clients and technical staff in English
2) Experience composing, maintaining and clarifying business policies and procedures for a public sector organization
3) Experience developing comprehensive policy and procedure manuals
4) Experience creating and indexing online manuals that are easily assessable to employees
5) Experience working through the create, update, review and approval stages for policy and procedure manuals
6) Experience with unemployment benefit services is preferred

D. **Replacement of Personnel**

1. After key personnel are assigned and approved by the Commonwealth, the Contractor may not divert or replace personnel without written approval of the Commonwealth Contracting Officer and in accordance with the following procedures.
1) The selected Contractor must provide notice of proposed diversion or replacement to the Commonwealth Contracting Officer at least thirty (30) calendar days in advance and provide the name, qualifications and background check of the person who will replace the diverted or removed staff. The Commonwealth Contracting Officer will notify the selected Contractor within ten (10) calendar days of the diversion notice whether the proposed diversion is acceptable and if the replacement is approved.

2) The selected project manager cannot be diverted from the project for the duration of the project and replacement of the project manager must be approved by the Commonwealth Contracting Officer.

3) The selected Contractor must provide a minimum of a fourteen (14) calendar day overlap at no additional charge to the Commonwealth for replacement of key personnel.

4) Advance notification and employee overlap is not required for changes in key personnel due to resignations, death and disability, dismissal for cause or dismissal as a result of termination of a subcontract or any other cause that is beyond the control of the selected Contractor or its subcontractor. However, the Commonwealth must approve the replacement staff and receive the same documentation. Replacement of key personnel whose availability changes for reasons beyond the control of the selected Contractor must occur 1) on a temporary basis within one week of the availability change and 2) on a permanent basis no longer than 30 calendar days from the availability change.

2. The Commonwealth Contracting Officer may request that the selected Contractor remove one or more of its staff persons from this project at any time, with thirty (30) calendar days written notice. In the event that a staff person is removed from the project, the selected Contractor will have ten (10) days to fill the vacancy with a staff person acceptable in terms of experience and skills, subject to the Commonwealth Contracting Officer approval.

E. **Work Locations and hours of operation.**

1. The selected Contractor shall operate a full-time PMO to oversee a comprehensive and complex replacement of Pennsylvania's current Unemployment Benefits and Benefit Appeals systems.
2. The PMO shall be on-site at L&I Headquarters in Harrisburg, PA.
3. The Project manager must work full-time at the on-site PMO.
4. Additional Contractor staff shall work on-site at the on-site PMO as needed to perform the required tasks.
5. The selected Contractor's staff may be required to work at alternate locations to perform certain tasks.
6. The selected Contractor's staff must be available to work any hours necessary to perform all tasks.
7. The project manager must be available during Commonwealth's standard business hours of 8:30 A.M. – 5:00 P.M. Eastern Time (EST or EDT as applicable), Monday through Friday, excluding Commonwealth holidays. Additional or alternate hours may be required during certain phases of the project.

F. **Project Management Methodology.** The selected Contractor shall adhere to industry best practices for project management methodology, such as Project Management Institute's (PMI) methodology. Contractors shall describe its project management methodology which shall be used for this project and provide sample plans and reports.

1. Contractors must utilize the Commonwealth's Microsoft SharePoint for collaboration and project document management.
2. Contractors must utilize TopTeam for Requirements gathering and validation.
3. Contractors must utilize Windows 7 Enterprise edition and Microsoft Office products such as Word, Excel, and PowerPoint.

G. **Policies and Standards.** The selected Contractor shall adhere to all Commonwealth, L&I and other relevant policies, laws, and standards.

H. **Documentation Versioning/Storage** The selected Contractor shall provide electronic versions of all documentation and employ change control processes and version control to ensure documentation is kept current for the duration of the purchase order (PO) resulting from this RFQ. Where appropriate, a table of contents, an index and keywords shall be available for information searching. L&I, at its discretion, may request or accept printed documentation on a case-by-case basis.

IV-4. Tasks The selected Contractor shall perform all activities necessary to perform the tasks listed below, while meeting the requirements of this RFQ. All deliverables shall be in a file and report format agreed to by the Commonwealth. All deliverables are subject to Commonwealth approval before acceptance can occur. Contractors shall provide samples or templates of the deliverables described below with its proposal.

A. **Project Planning and Management.** This task shall include all activities necessary to develop and deliver the deliverables as identified below. This includes, but is not limited to, the following:

1. Establish a PMO to oversee all phases of the modernization effort.
2. Provide leadership, direction, planning and oversight capability in managing the UC Benefits project.
3. Recommend best practices and implement selected practices for managing, tracking, controlling project activities, and documentation.
4. Manage integration, scope, schedule, risk, cost, quality, communications, resources, and procurement.
5. Development of project charter and project management plan documents.
    1) The selected Contractor shall develop the project management plan. The plan shall be reviewed monthly and updated as needed or at the discretion of L&I
    2) **Project Management Plan**. The project management plan shall include, but is not limited to, the following:

        1. **Project Plan.** The project plan must describe the scope of work for the project and how the scope shall be managed. The project plan shall act as a confirmation of project scope, phasing and implementation objectives; and be detailed enough to ensure the product is delivered on time, within projected estimates, and meets all requirements as specified in the RFP. The project plan must include, but is not limited to:

            - Project Scope Statement
            - Scope Management Process
            - Major Milestones /Deliverables
            - Work Breakdown Structure (WBS)
            - Timeline

        2. **Risk Management Plan.** The risk management plan must describe the approach used to manage risk throughout the life of the project, how contingency plans are implemented and how project reserves are allocated to handle the risks. The plan shall include the methods for identifying risks,

tracking risks, documenting response strategies, escalation, and communicating risk information. The risk management plan shall include:

- Risk Management Process
- Roles and Responsibilities
- Rules/Procedures
- Risk Impact Analysis Approach
- Tools

3. **Issue Management Plan.** The issue management plan must describe the approach for capturing, managing, escalating, and communicating issues throughout the life of the project to ensure the project is moving forward and avoids unnecessary delays. The issues management plan shall include:

   - Issues Management Approach
   - Issue Tracking Log
   - Roles and Responsibilities
   - Tools

4. **Change Control Management Plan.** The change control management plan must describe the approach to effectively manage changes throughout the life of a project. The plan shall include the process to track change requests from submittal to final disposition (submission, coordination, review, evaluation, categorization), the method used to communicate change requests and their status (approved, deferred, or rejected), the escalation process if changes cannot be resolved by the review team and the process for project re-baselining. The change control management plan shall include:

   - Change Management Process
   - Roles and Responsibilities
   - Rules/Procedures
   - Change Impact Analysis Approach
   - Change Control Log
   - Tools

5. **Communications Management Plan.** The communications management plan must describe the communications process that will be used throughout the life of the project. The process must include the tools and techniques that shall provide timely and appropriate generation, collection, distribution, storage, retrieval, and disposition of project information. The communications management plan shall include:

   - Communications Management Process
   - Roles and Responsibilities
   - Reporting Tools and Techniques
   - Meeting Types and Frequency

6. **Quality Management Plan.** The quality management plan must describe the approach used to address Quality Assurance (QA) and Quality Control (QC) throughout the life of the project. The quality management plan should

identify the quality processes and practices including the periodic reviews, audits and the testing strategy for key deliverables. The plan should also include the criteria by which quality is measured, the tolerances required of product and project deliverables, how compliance is measured and the process for addressing those instances whenever quality measures are out of tolerance or compliance.
In order to verify the quality and validate the effectiveness of deliverables, the selected Contractor shall develop and maintain a monthly deliverable assessment status report. The monthly assessment report shall include, but not be limited to:

The monthly deliverable assessment status report template shall be created as part of the quality management plan and shall include at least the following:

1. Deliverable accuracy.
2. Deliverable completeness.
3. Adherence to contractual and functional requirements.
4. Deliverable feasibility.
5. Deliverable consistency with overall project and other deliverables.
6. Deliverable deficiencies, errors, and omissions.
7. Recommended improvements and remediation.

The quality management plan shall include:

- Quality Management Process
- Roles and Responsibilities
- Deliverables Assessment
- Tools
- Quality Standards

7. **Time Management Plan.** The time management plan must describe the process for controlling the proposed schedule and how the achievement of tasks and milestones will be identified and reported. The plan must also detail the process to identify, resolve, and report resolution of problems such as schedule slippage. The time management plan shall include:

   - Time Management Process
   - Role and Responsibilities
   - Tools and Techniques
   - Work Plan

   Where appropriate, a PERT or GANTT chart display should be used to show project, task, and time relationship.

8. **Capacity Plan.** The Capacity plan, analysis, projections, and standards document(s). The Capacity plan shall include:
   - Capacity plan, analysis, and projections document for new system.
   - Performance tuning recommendations to development and maintenance teams, such as index recommendations and code efficiencies.

- Code standards and practices document as integrated with any applicable Commonwealth and industry project standards.
- Code review results document.
- Quality standards document (commit/restart, modularity, error handling, etc.) as integrated with any applicable Commonwealth and industry project standards.
- Quality standards review document.
- Standards document for programming languages and application interfaces as integrated with any applicable Commonwealth and industry project standards.
- Standards review results document.
- Review (code, quality, standards, etc.) must be conducted, at a minimum, on a monthly basis.

Deliverables

i) Project Charter

ii) Project Management Plan

B. **Pre-solicitation**. This task shall include all activities necessary to develop and deliver the deliverables as identified below. This includes, but is not limited to, the following:

1. UC systems assessment. The selected Contractor shall perform an as-is assessment of the existing UC systems.
2. Industry Research. The selected Contractor shall perform research. Research shall include, but not be limited to such areas as: UC benefits systems and industry practices, IT industry best practices and any other areas relevant to this project.
4. Requirements Gathering. The selected Contractor shall perform requirements gathering and validation activities. This shall include, but not be limited to, facilitating stakeholder and user requirements gathering sessions, performing a to-be assessment, performing a GAP analysis between the existing (legacy) data and the to-be system data requirements, and developing business, system, and technical requirements and requirements matrix for the replacement UC benefits systems. The selected Contractor shall review all requirement documents to validate that the requirements conform to industry and L&I standards, meet the business needs of L&I and provide the level of clarity and specification to allow the vendors to respond with RFP proposals for a system that shall support L&I business needs. The business requirements document shall be an addendum to the UC Benefits replacement system solicitation.
5. Strategy Consulting. The selected consultant shall hold stakeholder meetings and consult with L&I on the options for UC benefits systems replacement strategies. The selected consultant is required to make recommendations based on industry research and analysis, industry best practices, L&I needs, and risks and benefit analysis. Final decisions on the technical solution(s) are the responsibility of the Commonwealth.

Deliverables:

i) Technical assessment document resulting from the research and analysis of up to three state UI systems and other vendor solutions to identify the best options for Pennsylvania's unemployment system.

1) Identify level of fit with Pennsylvania's business requirements
2) Quality of code
3) Scalability of architecture
4) Extensibility
5) Performance

6) Ease of maintenance and support
7) Cost and time to customize to meet Pennsylvania's business requirements
8) Lessons learned
9) Alignment with Commonwealth standards

ii) A technical road map for moving forward with implementation of PA's unemployment benefits system. The road map shall identify all necessary steps to implement business requirements in the most efficient (time and schedule) manner, with no interruptions to the current business services and minimal rework. The road map shall identify risks associated with the approach and contain risk-mitigation strategies for each identified risk. The road map shall also include Business Case and Cost Benefit Analysis, Identify the goals, objectives and expectations, and include a return on investment analysis.

iii) Detailed requirements document and requirements traceability matrix.

C. **Solicitation and Procurement.** This task shall include all activities necessary to develop and deliver the deliverables as identified below. This includes, but is not limited to, the following:

1. Statement of Work (SOW) development for the inclusion in the solicitation document. The selected Contractor must develop, in coordination with L&I, a SOW for the UC benefits replacement system procurement, based upon L&I's selected system replacement strategy. This shall include all draft versions necessary to result in a finalized SOW and all needed appendices.
2. Work with L&I and Commonwealth procurement staff to integrate the SOW and appendices into the solicitation package(s).
3. Act as a Subject Matter Expert during the solicitation and procurement process. Function as a non-voting, non-scoring role during the procurement process.
4. Provide Negotiation Support - the selected Contractor shall assist the Commonwealth with negotiating a contract for the UC benefits replacement system procurement. The selected Contractor shall assist with negotiating all aspects of the contract, including terms and conditions. The support shall include updating solicitation and negotiation documents as needed to be used in the resulting contract.

Note: Selection of the UC Benefits replacement system Development and Implementation contractor will be the responsibility of the Commonwealth.

Deliverables:

i) Finalized Statement of Work with all appendices
ii) Finalized documents for Contract

D. **Optional Implementation Oversight.** At the Commonwealth's sole discretion, the selected Contractor may be required to provide implementation oversight. This task shall include all activities necessary to develop and deliver the deliverables as identified below. This includes, but is not limited to, the following:

i) IV&V services to oversee all aspects and phases on the UC benefits replacement system implementation. The purpose of the IV&V efforts are to oversee the work performed and analyze the deliverables received from the Development and Implementation contractor. The selected Contractor shall review its own work as it relates to this project as part of its quality assurance plan as described in section IV-4.A.6 **Quality Management Plan**, and will itself be subject to review by the Commonwealth and/or Commonwealth consultants.
ii) Provide qualified IV&V staff to perform IV&V activities.
iii) Provide L&I with an independent perspective on the Development and Implementation project activities and promote early detection of both project/product variances.

iv) Support project life cycle processes to ensure compliance with regulatory, performance, schedule, and budget requirements

v) Validate the project's product and processes to ensure compliance with defined requirements

vi) Develop, manage, and execute an IV&V management plan that is fully integrated into the entire project life cycle. The IV&V management plan shall identify the scope, depth, schedule, tasks, activities, and resource requirements of the IV&V effort.

vii) As part of the IV&V management plan, develop performance metrics and performance monitoring strategy for all aspects of the Development and Implementation project, to include, but not be limited to, the measurement and tracking of project progress against defined deliverables and milestones as they relate to the IV&V items being assessed.

1) Provide ongoing assessment reports related to both the management and technical aspects of the project. This includes, but is not limited to:

a) System engineering assessment of requirements analysis, specification, and interface control

(i) Operating environment assessment of system hardware and software

(ii) Data management assessment of data conversion, software, and database design

(iii) Development environment assessment of hardware and software used for development

(iv) Software architecture assessment of design specifications

(v) Code and testing assessment of product code, unit test, integration test, system test, acceptance test, pilot test

(vi) Product configurations management and documentation

b) Product compliance with non-functional requirements relative to performance, usability, reliability, security, etc.

c) Evaluate solution deployment and adoption approaches and outcomes; provide recommendations to business and technical stakeholders

viii) Evaluate operations and maintenance p**roced**ures and any ongoing changes.

ix) Conduct Verifications through conducting periodic inspections, walkthroughs, and checks

x) Conduct validations through code/unit, integration, functional, and user acceptance validation testing

xi) Perform periodic reviews of, and brief stakeholders on, the progress of IV&V efforts during weekly status reporting as described in section IV-5.C Status Report.

xii) Evaluate and implement corrective actions based upon IV&V findings/recommendations

xiii) Monitor system performance to ensure that all requirements and Service Level Agreements (SLAs) are met.

xiv) Ensure that the awarded contractor(s) is meeting the expectations set in its response to the solicitation.

xv) Conduct interim reviews and feedback to ensure that the design and resulting code shall perform efficiently and is cost-effective to enhance and maintain.

xvi) Validate the new system is being appropriately documented.

xvii) Use automated tools to assist with validating data conversion.

xviii) Develop testing plans and use cases.

xix) Assist with validating interfaces and integration with other systems, including CWDS, UCMS, ICON, etc.

xx) Ensure all components are sufficiently integrated and can share information as defined in the requirements document.

xxi) Participate in system acceptance testing as needed.

xxii) Develop and maintain a structured walkthrough defect tracking log and meeting record.

xxiii) Leverage the Development and Implementation project's change management process to make corrections and/or changes based upon the recommendations of the IV&V team, upon L&I's approval.

xxiv) Final Recommendation report at the end of implementation and warranty period, the selected Contractor shall provide a report showing the solution meets the requirements and adheres to the design documents. Provide supporting evidence that the product does satisfy client requirements. The report shall include the Contractor's recommendation to accept the solution. The selected Contractor shall provide project management, implementation oversight, problem resolution, and system performance monitoring services for a post-implementation warranty period of 14 months.

Deliverables:

i) IV&V Management Plan including all assessment reports and updates
ii) Test Plans
iii) Use Cases
iv) Final Recommendation report
v) Finalized documents for Contract

E. **Optional UC Tax Functionality.** If the option to expand the scope to include additional UC tax functionality once the UC benefits functionality is in production is enacted, the selected Contractor may be requested to continue PMO and/or IV&V services for the additional UC tax functionality. A statement of work shall be prepared at that time to receive a fixed cost deliverables based cost quote. All costs shall be based on the rates enclosed in **Appendix C, Cost Matrix.**

IV-5. Reports and Project Controls.

The selected Contractor shall provide project management services throughout the life of the project. In addition to the reports listed below, the selected Contractor shall provide the project management plans, reports, and other deliverables as described in **section IV-4. Tasks**. The selected Contractor shall create, maintain and deliver the plans, reports, and supporting documentation in a format agreed to by the Commonwealth.

A. **Meetings.** The selected Contractor shall hold onsite meetings at L&I as needed, to include, but not be limited to: kickoff meeting, status meetings, stakeholder meetings, and other meetings required to perform the tasks as described in this RFQ. The selected Contractor shall be responsible for meeting materials and meeting notes for all meetings

B. **Project Management Plan.** A project management plan as described in **section IV-4.a Project Planning and management.**

C. **Status Report.** A periodic weekly progress report covering activities, problems, risks and recommendations. This report should be keyed to the work plan the Offeror developed in its proposal, as amended or approved by the Issuing Office. Upon request, the selected Contractor shall brief stakeholders in person on the project status.

D. **Problem Identification Report.** An "as required" report, identifying problem areas. The report should describe the problem and its impact on the overall project and on each affected task. It should list possible courses of action with advantages and disadvantages of each, and include Offeror recommendations with supporting rationale. The problem identification report must be

delivered to L&I promptly after identifying any problem which may have a significant operational impact.

E. **AD Hoc Reporting**. The selected Contractor shall provide ad hoc reports to L&I upon request.

F. **Final Recommendation Report.** A final report, as described in **section IV-4.d Implementation Oversight,** produced for the project to be used by the Commonwealth to assess the success of the project, and a recommendation on final acceptance of the solution.

IV-6. Purchase order Requirements — Small Diverse Business Participation

All purchase orders containing Small Diverse Business participation and must also include a provision requiring the selected Contractor to meet and maintain those commitments made to Small Diverse Businesses at the time of proposal submittal or purchase order negotiation, unless a change in the commitment is approved by the BSBO. All purchase orders containing Small Diverse Business participation must include a provision requiring Small Diverse Business subcontractors to perform at least **50%** of the subcontracted work.

The selected Contractor's commitments to Small Diverse Businesses made at the time of proposal submittal or purchase order negotiation shall, to the extent so provided in the commitment, be maintained throughout the term of the purchase order and through any renewal or extension of the purchase order. Any proposed change must be submitted to BSBO, which will make a recommendation to the Issuing Officer regarding a course of action.

If a purchase order is assigned to another Contractor, the new Contractor must maintain the Small Diverse Business participation of the original purchase order.

The selected Contractor shall complete the Prime Contractor's Quarterly Utilization Report (or similar type document containing the same information) and submit it to the Contracting Officer of the Issuing Office and BSBO within 10 workdays at the end of each quarter the purchase order is in force. This information will be used to determine the actual dollar amount paid to Small Diverse Business subcontractors and suppliers. Also, this information will serve as a record of fulfillment of the commitment the selected Contractor made and for which it received Small Diverse Business participation points. If there was no activity during the quarter then the form must be completed by stating "No activity in this quarter."

NOTE: EQUAL EMPLOYMENT OPPORTUNITY AND CONTRACT COMPLIANCE STATEMENTS REFERRING TO COMPANY EQUAL EMPLOYMENT OPPORTUNITY POLICIES OR PAST CONTRACT COMPLIANCE PRACTICES DO NOT CONSTITUTE PROOF OF SMALL DIVERSE BUSINESS STATUS OR ENTITLE A CONTRACTOR TO RECEIVE CREDIT FOR SMALL DIVERSE BUSINESS UTILIZATION.

APPENDIX A - PROPOSAL COVER SHEET

COMMONWEALTH OF PENNSYLVANIA

OFFICE OF INFORMATION TECHNOLOGY

RFQ# 6100029898

Enclosed in three separately sealed submittals is the proposal of the Contractor identified below for the above-referenced RFQ:

Contractor Information	
Contractor Name	
Contractor Mailing Address	
Contractor Website	
Contractor Contact Person	
Contact Person's Phone Number	
Contact Person's Facsimile Number	
Contact Person's Email Address	
Contractor PA Supplier ID Number	
Contractor Federal ID Number	

Submittals Enclosed and Separately Sealed	
☐	Technical Submittal
☐	Small Diverse Business Participation Submittal
☐	Cost Submittal

Signature	
Signature of an official authorized to bind the Contractor to the provisions contained in the Contractor's proposal:	
Printed Name	
Title	

Master Information Technology (IT) Services Invitation to Qualify (ITQ) Contract
Domestic Workforce Utilization Certification
APPENDIX B

To the extent permitted by the laws and treaties of the United States, this certification will be used by the Agency in making a best value selection for each particular assignment. Each quote will be evaluated for its commitment to use the domestic workforce in the fulfillment of the contract. Maximum consideration will be given to those suppliers who will perform the contracted direct labor exclusively within the geographical boundaries of the United States or within the geographical boundaries of a country that is a party to the World Trade Organization Government Procurement Agreement. Those who propose to perform a portion of the direct labor outside of the United States and not within the geographical boundaries of a party to the World Trade Organization Government Procurement Agreement will receive a correspondingly smaller score for this criterion. In order to be eligible for any consideration for this criterion, suppliers must complete and sign the following certification. This certification will be included as a contractual obligation when the contract is executed. Failure to complete and sign this certification will result in no consideration being given to the supplier for this criterion.

I, [title] of [name of Contractor] a [place of incorporation] corporation or other legal entity, ("Contractor") located at [address], having a Social Security or Federal Identification Number of [number], do hereby certify and represent to the Commonwealth of Pennsylvania ("Commonwealth") (Check one of the boxes below):

☐ All of the direct labor performed within the scope of services under the contract will be performed exclusively within the geographical boundaries of the United States or one of the following countries that is a party to the World Trade Organization Government Procurement Agreement: Aruba, Austria, Belgium, Bulgaria, Canada, Chinese Taipei, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hong Kong, Hungary, Iceland, Ireland, Israel, Italy, Japan, Korea, Latvia, Liechtenstein, Lithuania, Luxemburg, Malta, the Netherlands, Norway, Poland, Portugal, Romania, Singapore, Slovak Republic, Slovenia, Spain, Sweden, Switzerland, and the United Kingdom

OR

☐ [number (One Hundred)] percent [Contractor must specify the percentage (100%)] of the direct labor performed within the scope of services under the contract will be performed within the geographical boundaries of the United States or within the geographical boundaries of one of the countries listed above that is a party to the World Trade Organization Government Procurement Agreement. Please identify the direct labor performed under the contract that will be performed outside the United States and not within the geographical boundaries of a party to the World Trade Organization Government Procurement Agreement and identify the country where the direct labor will be performed: [Use additional sheets if necessary]

The Department of General Services [or other purchasing agency] shall treat any misstatement as fraudulent concealment of the true facts punishable under Section 4904 of the *Pennsylvania Crimes Code*, Title 18, of Pa. Consolidated Statutes.

Attest or Witness:

_____
Corporate or Legal Entity's Name

_____
Signature/Date

_____
Printed Name/Title

_____
Signature/Date

_____
Printed Name/Title

INSTRUCTIONS

1.) All sheets must be filled out completely. Fill out all yellow highlighted cells on each worksheet.

2.) Formulas are imbedded in the Worksheets. Offeror's must verify that all calculations, subtotal costs and grand total costs are accurate.

3.) Rate Card: Fill in the Position and Hourly Rate columns.

4.) Deliverables: Fill in the total number of hours for each position per deliverable. All other information is linked and will calculate automatically.

5.) Summary: All information is linked and will calculate automatically.

6.) Please contact the Issuing Officer Christina Geegee-Dugan, via email RA-OITPurchases@state.pa.us with any questions or concerns.

7.) Payment for services under this contract are deliverable-based. The hours listed are for any task or deliverable and for informational purposes only and will not be binding on the Commonwealth

Rate Card

Position	Hourly Rate
Project Manager	$0.00
Project Scheduler	$0.00
Business Architect	$0.00
Business Analyst	$0.00
Solutions Architect	$0.00
Data Architect	$0.00
Extract Transform Load (ETL) Specialist	$0.00
Infrastructure Architect	$0.00
Integration / Configuration Specialist	$0.00
Source code auditor	$0.00
Quality assurance architect	$0.00
Technical Writer	$0.00
Testing Technician	$0.00
Usability Testing Specialist	$0.00
	$0.00
	$0.00
	$0.00
	$0.00
	$0.00
	$0.00

Deliverables Worksheet

Deliverable	Position	Hourly Rate	Hours	Cost
IV-4.A. Project Planning and Management. - Project Charter	Project Manager	$ -		$ -
	Project Scheduler	$ -		$ -
	Business Architect	$ -		$ -
	Business Analyst	$ -		$ -
	Solutions Architect	$ -		$ -
	Data Architect	$ -		$ -
	Extract Transform Load (ETL) Specialist	$ -		$ -
	Infrastructure Architect	$ -		$ -
	Integration / Configuration Specialist	$ -		$ -
	Source code auditor	$ -		$ -
	Quality assurance architect	$ -		$ -
	Technical Writer	$ -		$ -
	Testing Technician	$ -		$ -
	Usability Testing Specialist	$ -		$ -
	0	$ -		$ -
	0	$ -		$ -
	0	$ -		$ -
	0	$ -		$ -
	0	$ -		$ -
	0	$ -		$ -
IV-4.A. Project Planning and Management. - Project Management Plan (including all updates required during project)	Project Manager	$ -		$ -
	Project Scheduler	$ -		$ -
	Business Architect	$ -		$ -
	Business Analyst	$ -		$ -
	Solutions Architect	$ -		$ -
	Data Architect	$ -		$ -
	Extract Transform Load (ETL) Specialist	$ -		$ -
	Infrastructure Architect	$ -		$ -
	Integration / Configuration Specialist	$ -		$ -
	Source code auditor	$ -		$ -
	Quality assurance architect	$ -		$ -
	Technical Writer	$ -		$ -
	Testing Technician	$ -		$ -
	Usability Testing Specialist	$ -		$ -
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	0	$ -		$ -
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IV-4.B. Pre-solicitation - Technical assessment document	Project Manager	$ -		$ -
	Project Scheduler	$ -		$ -
	Business Architect	$ -		$ -
	Business Analyst	$ -		$ -
	Solutions Architect	$ -		$ -
	Data Architect	$ -		$ -
	Extract Transform Load (ETL) Specialist	$ -		$ -
	Infrastructure Architect	$ -		$ -
	Integration / Configuration Specialist	$ -		$ -
	Source code auditor	$ -		$ -
	Quality assurance architect	$ -		$ -
	Technical Writer	$ -		$ -
	Testing Technician	$ -		$ -
	Usability Testing Specialist	$ -		$ -
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Deliverables Worksheet

Deliverable	Position	Hourly Rate	Hours	Cost
IV-4.B. Pre-solicitation - Technical road map	Project Manager	$ -		$ -
	Project Scheduler	$ -		$ -
	Business Architect	$ -		$ -
	Business Analyst	$ -		$ -
	Solutions Architect	$ -		$ -
	Data Architect	$ -		$ -
	Extract Transform Load (ETL) Specialist	$ -		$ -
	Infrastructure Architect	$ -		$ -
	Integration / Configuration Specialist	$ -		$ -
	Source code auditor	$ -		$ -
	Quality assurance architect	$ -		$ -
	Technical Writer	$ -		$ -
	Testing Technician	$ -		$ -
	Usability Testing Specialist	$ -		$ -
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	0	$ -		$ -
IV-4.B. Pre-solicitation - Detailed requirements document and requirements traceability matrix	Project Manager	$ -		$ -
	Project Scheduler	$ -		$ -
	Business Architect	$ -		$ -
	Business Analyst	$ -		$ -
	Solutions Architect	$ -		$ -
	Data Architect	$ -		$ -
	Extract Transform Load (ETL) Specialist	$ -		$ -
	Infrastructure Architect	$ -		$ -
	Integration / Configuration Specialist	$ -		$ -
	Source code auditor	$ -		$ -
	Quality assurance architect	$ -		$ -
	Technical Writer	$ -		$ -
	Testing Technician	$ -		$ -
	Usability Testing Specialist	$ -		$ -
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Deliverables Worksheet

Deliverable	Position	Hourly Rate	Hours	Cost
IV-4.C. Solicitation and Procurement. - Finalized Statement of Work with all appendices	Project Manager	$ -		$ -
	Project Scheduler	$ -		$ -
	Business Architect	$ -		$ -
	Business Analyst	$ -		$ -
	Solutions Architect	$ -		$ -
	Data Architect	$ -		$ -
	Extract Transform Load (ETL) Specialist	$ -		$ -
	Infrastructure Architect	$ -		$ -
	Integration / Configuration Specialist	$ -		$ -
	Source code auditor	$ -		$ -
	Quality assurance architect	$ -		$ -
	Technical Writer	$ -		$ -
	Testing Technician	$ -		$ -
	Usability Testing Specialist	$ -		$ -
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	0	$ -		$ -
IV-4.C. Solicitation and Procurement. - Finalized documents for Contract	Project Manager	$ -		$ -
	Project Scheduler	$ -		$ -
	Business Architect	$ -		$ -
	Business Analyst	$ -		$ -
	Solutions Architect	$ -		$ -
	Data Architect	$ -		$ -
	Extract Transform Load (ETL) Specialist	$ -		$ -
	Infrastructure Architect	$ -		$ -
	Integration / Configuration Specialist	$ -		$ -
	Source code auditor	$ -		$ -
	Quality assurance architect	$ -		$ -
	Technical Writer	$ -		$ -
	Testing Technician	$ -		$ -
	Usability Testing Specialist	$ -		$ -
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IV-4.D. Optional Implementation Oversight. - Test Plans	Project Manager	$ -		$ -
	Project Scheduler	$ -		$ -
	Business Architect	$ -		$ -
	Business Analyst	$ -		$ -
	Solutions Architect	$ -		$ -
	Data Architect	$ -		$ -
	Extract Transform Load (ETL) Specialist	$ -		$ -
	Infrastructure Architect	$ -		$ -
	Integration / Configuration Specialist	$ -		$ -
	Source code auditor	$ -		$ -
	Quality assurance architect	$ -		$ -
	Technical Writer	$ -		$ -
	Testing Technician	$ -		$ -
	Usability Testing Specialist	$ -		$ -
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Deliverables Worksheet

Deliverable	Position	Hourly Rate	Hours	Cost
IV-4.D. Optional Implementation Oversight. - Use Cases	Project Manager	$ -		$ -
	Project Scheduler	$ -		$ -
	Business Architect	$ -		$ -
	Business Analyst	$ -		$ -
	Solutions Architect	$ -		$ -
	Data Architect	$ -		$ -
	Extract Transform Load (ETL) Specialist	$ -		$ -
	Infrastructure Architect	$ -		$ -
	Integration / Configuration Specialist	$ -		$ -
	Source code auditor	$ -		$ -
	Quality assurance architect	$ -		$ -
	Technical Writer	$ -		$ -
	Testing Technician	$ -		$ -
	Usability Testing Specialist	$ -		$ -
	0	$ -		$ -
	0	$ -		$ -
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	0	$ -		$ -
IV-4.D. Optional Implementation Oversight. - Performance Monitoring Plan with Performance Metrics	Project Manager	$ -		$ -
	Project Scheduler	$ -		$ -
	Business Architect	$ -		$ -
	Business Analyst	$ -		$ -
	Solutions Architect	$ -		$ -
	Data Architect	$ -		$ -
	Extract Transform Load (ETL) Specialist	$ -		$ -
	Infrastructure Architect	$ -		$ -
	Integration / Configuration Specialist	$ -		$ -
	Source code auditor	$ -		$ -
	Quality assurance architect	$ -		$ -
	Technical Writer	$ -		$ -
	Testing Technician	$ -		$ -
	Usability Testing Specialist	$ -		$ -
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Deliverables Worksheet

Deliverable	Position	Hourly Rate	Hours	Cost
IV-4.D. Optional Implementation Oversight. - Final Recommendation report	Project Manager	$ -		$ -
	Project Scheduler	$ -		$ -
	Business Architect	$ -		$ -
	Business Analyst	$ -		$ -
	Solutions Architect	$ -		$ -
	Data Architect	$ -		$ -
	Extract Transform Load (ETL) Specialist	$ -		$ -
	Infrastructure Architect	$ -		$ -
	Integration / Configuration Specialist	$ -		$ -
	Source code auditor	$ -		$ -
	Quality assurance architect	$ -		$ -
	Technical Writer	$ -		$ -
	Testing Technician	$ -		$ -
	Usability Testing Specialist	$ -		$ -
	0	$ -		$ -
	0	$ -		$ -
	0	$ -		$ -
	0	$ -		$ -
	0	$ -		$ -
	0	$ -		$ -
IV-4.D. Optional Implementation Oversight. - Finalized documents for Contract	Project Manager	$ -		$ -
	Project Scheduler	$ -		$ -
	Business Architect	$ -		$ -
	Business Analyst	$ -		$ -
	Solutions Architect	$ -		$ -
	Data Architect	$ -		$ -
	Extract Transform Load (ETL) Specialist	$ -		$ -
	Infrastructure Architect	$ -		$ -
	Integration / Configuration Specialist	$ -		$ -
	Source code auditor	$ -		$ -
	Quality assurance architect	$ -		$ -
	Technical Writer	$ -		$ -
	Testing Technician	$ -		$ -
	Usability Testing Specialist	$ -		$ -
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	0	$ -		$ -

Cost Summary

Task/Phase	Deliverable	Total Hours	Total Cost
IV-4.A. Project Planning and Management.	Project Charter	0	$ -
	Project Management Plan (including all updates required during pro	0	$ -
		0	$ -
IV-4.B. Pre-solicitation	Technical assessment document	0	$ -
	Technical road map	0	$ -
	Detailed requirements document and requirements traceability mat	0	$ -
		0	$ -
IV-4.C. Solicitation and Procurement.	Finalized Statement of Work with all appendices	0	$ -
	Finalized documents for Contract	0	$ -
		0	$ -
Total Deliverable Cost (excluding Optional Implementation Oversight)			**$ -**
Total Deliverable Hours (excluding Optional Implementation Oversight)			**0**
IV-4.D. Optional Implementation Oversight.	Test Plans	0	$ -
	Use Cases	0	$ -
	Performance Monitoring Plan with Performance Metrics	0	$ -
	Final Recommendation report	0	$ -
	Finalized documents for Contract	0	$ -
		0	$ -
Total Deliverable Cost (including Optional Implementation Oversight)			**$ -**
Total Deliverable Hours (including Optional Implementation Oversight)			**0**

Master Information Technology (IT) Services Invitation to Qualify (ITQ) Contract
Trade Secret/Confidential Proprietary Information Notice
APPENDIX D

Instructions:

The Commonwealth may not assert on behalf of a third party an exception to the public release of materials that contain trade secrets or confidential proprietary information unless the materials are accompanied, at the time they are submitted, by this form or a document containing similar information.

It is the responsibility of the party submitting this form to ensure that all statements and assertions made below are legally defensible and accurate. The Commonwealth will not provide a submitting party any advice with regard to trade secret law.

Name of submitting party:

Contact information for submitting party:

Please provide a brief overview of the materials that you are submitting (e.g. bid, grant application, technical schematics):

Please provide a brief explanation of why the materials are being submitted to the Commonwealth (e.g. response to bid #12345, application for grant XYZ being offered by the Department of Health, documents required to be submitted under law ABC)

Please provide a list detailing which portions of the material being submitted you believe constitute a trade secret or confidential proprietary information, and please provide an explanation of why you think those materials constitute a trade secret or confidential proprietary information. Also, please mark the submitted material in such a way to allow a reviewer to easily distinguish between the parts referenced below. (You may attach additional pages if needed)

Note: The following information will not be considered a trade secret or confidential proprietary information:

- Any information submitted as part of a vendor's cost bid
- Information submitted as part of a vendor's technical response that does not pertain to specific business practices or product specification
- Information submitted as part of a vendor's technical or small diverse business response that is otherwise publicly available or otherwise easily obtained
- Information detailing the name, quantity, and price paid for any product or service being purchased by the Commonwealth

Page Number	Description	Explanation

Acknowledgment

The undersigned party hereby agrees that it has read and completed this form, and has marked the material being submitted in accordance with the instructions above. The undersigned party acknowledges that the Commonwealth is not liable for the use or disclosure of trade secret data or confidential proprietary information that has not been clearly marked as such, and which was not accompanied by a specific explanation included with this form.

The undersigned agrees to defend any action seeking release of the materials it believes to be trade secret or confidential, and indemnify and hold harmless the Commonwealth, its agents and employees, from any judgments awarded against the Commonwealth in favor of the party requesting the materials, and any and all costs connected with that defense. This indemnification survives so long as the Commonwealth has possession of the submitted material, and will apply to all costs unless and until the undersigned provides a written statement or similar notice to the Commonwealth stating that it no
longer wishes to exempt the submitted material from public disclosure.

The undersigned acknowledges that the Commonwealth is required to keep all records for at least as long as specified in its published records retention schedule.

The undersigned acknowledges that the Commonwealth reserves the right to reject the undersigned's claim of trade secret/confidential proprietary information if the Commonwealth determines that the undersigned has not met the burden of establishing that the information constitutes a trade secret or is confidential. The undersigned also acknowledges that if only a certain part of the submitted material is found to constitute a trade secret or is confidential, the remainder of the submitted material will become
public; only the protected information will be removed and remain nonpublic.

If being submitted electronically, the undersigned agrees that the mark below is a valid electronic signature.

Signature	Title	Date

Master Information Technology (IT) Services Invitation to Qualify (ITQ) Contract
Trade Secrets, Confidential Information and Public Disclosure
APPENDIX E

Proposal Contents

a. Confidential Information. The Commonwealth is not requesting, and does not require, confidential proprietary information or trade secrets to be included as part of Contractors' submissions in order to evaluate proposals submitted in response to a RFQ. Accordingly, except as provided herein, Contractors should not label proposal submissions as confidential or proprietary or trade secret protected. Any Contractor who determines that it must divulge such information as part of its proposal must submit the signed written statement described in subsection c. below and must additionally provide a redacted version of its proposal, which removes only the confidential proprietary information and trade secrets, for required public disclosure purposes.

b. Commonwealth Use. All material submitted with the proposal shall be considered the property of the Commonwealth of Pennsylvania and may be returned only at the Issuing Office's option. The Commonwealth has the right to use any or all ideas not protected by intellectual property rights that are presented in any proposal regardless of whether the proposal becomes part of a contract. Notwithstanding any Contractor copyright designations contained on proposals, the Commonwealth shall have the right to make copies and distribute proposals internally and to comply with public record or other disclosure requirements under the provisions of any Commonwealth or United States statute or regulation, or rule or order of any court of competent jurisdiction.

c. Public Disclosure. After the award of a contract pursuant to a RFQ, all proposal submissions are subject to disclosure in response to a request for public records made under the Pennsylvania Right-to-Know-Law, 65 P.S. § 67.101, et seq. If a proposal submission contains confidential proprietary information or trade secrets, a signed written statement to this effect must be provided with the submission in accordance with 65 P.S. § 67.707(b) for the information to be considered exempt under 65 P.S. § 67.708(b)(11) from public records requests (*See* **Trade Secret/Confidential Proprietary Information Notice**). Financial capability information submitted in response to a RFQ is exempt from public records disclosure under 65 P.S. § 67.708(b)(26).

Master Information Technology (IT) Services Invitation to Qualify (ITQ) Contract
Lobbying Certification Form
APPENDIX F

Certification for Contracts, Grants, Loans, and Cooperative Agreements

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) 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.

(2) 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 of Lobbying Activities, in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients 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 under *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 such failure.

SIGNATURE:_____

TITLE:_____

DATE:_____

APPENDIX G

PROJECT REFERENCES

Name of Client & Project Title	Client – Project Title	
Contract Value	[VALUE]	
Nature and Scope of Project:	Describe the project in sufficient detail to explain it is similar to the Commonwealth's project. How does this project compare in size, scope, complexity and/or duration? What is it specifically about this project that makes it a good representative project of the vendor's work? *(Reference Section II-4 Prior Experience)*	
Project Duration:	**Start Date Year:** [YEAR]	**End Date Year:** [YEAR or on-going]
Nature of the Client:	Description of client and organizational unit that project was managed by.	
Nature of Client Audience:	Description of project users and/or client/customer audience.	
Number of Users:	[Number]	
# & Composition of Vendor Employees & Consultants Assigned:	Vendor Project Manager/Key Consultant on Project Team: Describe start-up, peak and ongoing level of vendor efforts	
Client Contact Information:	Provide the name, title, address and telephone number of at least two references or contact persons that the Commonwealth can contact to inquire about the vendor's performance, and indicate the role these individuals had in relation to the assignment or project. The references/contact persons should be individuals who were key stakeholders or project leaders and who can validate the vendor's role and responsibilities and who can comment on the quality of the vendor's performance. **2 contacts required.** **Reference Contacts:** Name: Title: Department: Full Address: Telephone: E-mail: Relation/Role to Project: Name: Title: Department: Full Address: Telephone: E-mail: Relation/Role to Project:	

APPENDIX H

PERSONNEL EXPERIENCE BY KEY POSITION

POSITION (Include at least one row for all positions identified as Key Positions in II-6 of the RFQ, as well as any additional positions you've identified as integral to the work delineated in your proposal.)	**PERSONNEL NAME** (Identify by first/last name the person who will fulfill this position.)	**COMMITMENT** (Provide the percentage of this person's time to be committed to the proposed project.)	**PERSONNEL EXPERIENCE**			
			# YEARS PRIOR EXPERIENCE IN POSITION (List the number of years this person has acted in the same role on prior projects similar in nature to the proposed project.)	**OTHER RELEVANT EXPERIENCE** (Provide a brief narrative of other experience this person has had that may be relevant to his/her role in the proposed project.)	**EDUCATION** (List all postsecondary degrees completed for this person.)	**OTHER PROFESSIONAL QUALIFICATIONS** (List any certifications and/or professional memberships for this person that may be relevant to this position.)

APPENDIX H

SMALL DIVERSE BUSINESS
LETTER OF INTENT
APPENDIX I

[DATE]

[SDB Contact Name
Title
SDB Company Name
Address
City, State, Zip]

Dear [SDB Contact Name]:

This letter serves as confirmation of the intent of [Contractor] to utilize [Small Diverse Business (SDB)] on RFQ [RFQ number and Title] issued by the [Commonwealth agency name].

If [Contractor] is the successful vendor, [SDB] shall provide [identify the specific work, goods or services the SDB will perform, and the specific timeframe during the term of the purchase order and any option/renewal periods when the work, goods or services will be performed or provided].

These services represent [identify fixed numerical percentage commitment] of the total cost in the [Contractor's] cost submittal for the initial term of the purchase order. Dependent on final negotiated pricing and actual usage or volume, it is expected that [SDB] will receive an estimated [identify associated estimated dollar value that the fixed percentage commitment represents] during the initial purchase order term.

[SDB] represents that it meets the small diverse business requirements set forth in the RFQ and all required documentation has been provided to [Contractor] for its SDB submission.

We look forward to the opportunity to serve the [Commonwealth agency name] on this project. If you have any questions concerning our small diverse business commitment, please feel free to contact me at the number below.

Sincerely,

Contractor Name
Title
Company
Phone number

Acknowledged,

SDB Name
Title
Company
Phone number

APPENDIX J

QUESTIONS SUBMITTAL

RFQ Information:	
RFQ Name	
RFQ Number	

Contractor Information:	
Contractor Name	
Contractor Mailing Address	
Contractor Contact Person	
Contact Person's Phone Number	
Contact Person's E-Mail Address	

Question #	Document	Page #	Section Reference	Question
Example	*RFQ*	*13*	*IV-3.A*	*Question*
1				
2				
3				
4				
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APPENDIX J

QUESTIONS SUBMITTAL

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APPENDIX J

QUESTIONS SUBMITTAL

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APPENDIX J

QUESTIONS SUBMITTAL

Question #	Document	Page #	Section Reference	Question
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APPENDIX J

QUESTIONS SUBMITTAL

Question #	Document	Page #	Section Reference	Question
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APPENDIX J

QUESTIONS SUBMITTAL

Question #	Document	Page #	Section Reference	Question
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Appendix K
Office of Information Technology Organizational Overview

The Office of Information Technology plans, develops, implements and manages a comprehensive information technology shared service organization for the Department of Labor and Industry, the purpose of which is to ensure the coordinated, effective, and efficient utilization of information resources in support of Labor and Industry and Commonwealth enterprise business goals and objectives. The Office of Information Technology provides department-wide services for IT infrastructure, operations, network support, project management, enterprise application development and architecture, business application development, customer support, training and resource management.

The Office of Information Technology supports all Department of Labor and Industry locations, including all central and remote sites as well as coordinating services with business partners from other Commonwealth and Federal agencies, along with private employers. In order to perform these functions, the Office of Information Technology is comprised of the following four Bureaus:

Bureau of Business Application Development

The Bureau of Business Application Development applies emerging and existing technology to the business processes of the Department of Labor and Industry, enabling the program office staff to work more efficiently and effectively in delivering services to customers. The Bureau provides planning, analysis, and programming support for the Department's information systems. Application systems administration is provided for implementation, maintenance and change control of business applications and integration of third party software products. Technical support is provided for the development of applications and training of end users on client/server, web-based, and mainframe platforms.

Workers' Compensation and Disability Determination Division

The Compensation and Insurance Division provides planning, analysis, and programming support for the development, implementation and maintenance of information systems applications for the administration of Workers' Compensation and Disability Determination programs. Staff trains end users on specific applications and provides level 2 and 3 applications help desk Support.

State Workers' Insurance Fund Division

The State Workers' Insurance Division provides planning, analysis, and programming support for the development, implementation and maintenance of information systems applications for the administration of State Worker's Insurance Fund. Staff trains end users on specific applications and provides level 2 and 3 applications help desk Support.

Unemployment Compensation Division

The Unemployment Compensation (UC) Division provides planning, analysis, and programming support for the development, implementation and maintenance of information systems applications for the administration of UC Tax Services, UC Benefits and Allowance programs. Staff trains end users on specific applications and provides level 2 and 3 applications help desk support.

Vocational Rehabilitation, Safety and Labor/Management Relations Division

The Vocational Rehabilitation, Safety and Labor/Management Relations Division provides planning, analysis, and programming support for the development, implementation and maintenance of information systems applications for the administration of OVR districts, the Hiram G. Andrews Center, Bureau of Blindness and Visual Services, and Office of Deaf and Hard of Hearing, PennSAFE, Labor Law Compliance, Mediation, Labor/Management Cooperation and Occupational and Industrial Safety programs. Staff trains end users on specific applications and provides level 2 and 3 applications help desk support.

Workforce Development Division

The Workforce Development Division provides planning, analysis, and programming support for the development, implementation and maintenance of information systems applications for the administration of Workforce Development, and Workforce Information and Analysis programs. Staff trains end users on specific applications and provides level 2 and 3 applications help desk support.

Bureau of Enterprise Architecture

The Bureau of Enterprise Architecture is responsible for the development of an enterprise architectural model for all of the Department of Labor and Industry, which consists of networking, computer systems, application, data/information, infrastructure, security, and standards components. The Bureau ensures both fiscal and physical accountability for all Labor and Industry IS/IT resources are achieved and maintained throughout their useful lifecycle. The Bureau develops comprehensive blueprints to guide the transformation from business strategies into value-added systems solutions. The Bureau facilitates and supports the system manifestation, physical implementation of resources, testing, validation, and associated change/re-engineering phases for the subsequent release into operational environments. The Bureau provides life cycle management strategies regarding the recycling, decommissioning, or disposal of the operational systems at the ending of its use in the enterprise operation.

Engineering and Research Division

This division researches new technologies, directs the engineering and design of current and proposed systems architectures across the enterprise for all Labor and Industry encompassing networking (LAN/WAN), computer systems (desktop, servers, storage, recovery, etc.), telecommunications, infrastructure, and security implementation. This division enables business process improvements and system integration, thereby increasing efficiency, reducing redundant activities and systems, leveraging new and existing technologies, and improving decision making capabilities.

Standards Development and Compliance Division

This division establishes technical standards for the implementation of enterprise software and services while ensuring compliance with standards promulgated by authoritative sources internal and external to Labor and Industry. This division establishes and manages the enterprise architectural standards and framework relative to all Labor and Industry IS/IT resources and initiatives.

Data Management and Database Operations Division

This division designs, administers, and maintains all database systems and structures for Labor and Industry. It creates, compiles and maintains the enterprise schema and metadata repository across all applications. This division enforces database standards compliance and specifies recommended DBMs and technologies for content management and the storage, access, navigation, movement, verification/validation, security, and transformation of data while ensuring preservation of strategic data assets.

Bureau of Enterprise Services

The Bureau of Enterprise Services performs enterprise wide IT applications development, web page development, and Commercial-Off-The-Shelf (COTS) product administration. The Bureau handles security administration, password administration, change management processes, enterprise project management, continuity of government and disaster recovery oversight. The Bureau is also responsible for the coordination of help desk services and customer service.

Project Management Office

The Project Management Office is responsible for the management of projects that utilize OIT staff resources. This division establishes and maintains the project management methodology (PMM) in accordance with OA-OIT and the Project Management Institute best practices. The PMO ensures that all IT projects and initiatives adhere to the PMM and provides project management support at varying degrees in accordance with specific project needs. The division is responsible for maintaining the portfolio of projects and providing reports to internal and external entities to support executive decision making and effective resource allocation. This division facilitates the creation of the OIT strategic plan and coordinates each Division's development and tracking of performance initiatives in support of the plan. The division also participates in and oversees the development of IT service proposals that require procurement vehicles such as Request for Quotes and Request for Proposals. The PMO also provides services to the department to create and executive surveys to both internal and external customers.

Customer Relations Division

The Customer Relations Division is responsible for client issue management and communications for the Office of Information Technology. The division provides a single point of contact for program areas on all IT needs, coordinates client needs with the appropriate Office of Information Technology staff and/or contractors, and follows up to ensure services are provided timely to meet expectations. This division communicates with all program offices to keep them informed of plans and changes in IT support services. The division is responsible for the Help Desk contract and coordination with the Help Desk vendor and related services. This division is also responsible for the Department's Enterprise Systems Management (ESM) System, which includes developing, implementing and maintaining the Service Now Help Desk, Change and Asset systems and Tivoli systems administration.

Enterprise Software and Information Services (ESIS) Division

The Enterprise Software and Information Services Division has an enterprise wide scope, focusing on providing IT services and solutions to the Department and its customers. This division primarily administers Commercial-Off-The-Shelf (COTS) products, continues development and maintenance of the Department of Labor and Industry's Intranet and Internet Websites, and works with program offices on the development and publication of their web-based communications. This division is also responsible for building applications that are based on a framework, which uses state-of-the-art tools and technologies and an extensible architecture, in order to maximize IT investments. .

Security Division

The Security Division is responsible for the overall management, development and enforcement of the Labor and Industry Security Plan and related security policies, which together comprise the framework to protect departmental IT assets and resources. The assessment of risk, the evaluation of consequences, and their subsequent balancing are an integral part of the development of the overall security plan. This division develops and maintains the Office of Information Technology Disaster Recovery Plan for critical business system resumption, as well as participating in testing of various components at both the Commonwealth and departmental level. It manages and controls programming assets through software version protection and overall change control. The division is responsible for conducting internal security audits, and for the coordination of IT audits conducted by the Office of the Budget, the Auditor General's Office, the Federal Department of Labor, Internal Revenue Service (IRS), and other external auditors, and the formulation of corrective action plans as required by formal audit findings. This division administers the enterprise identity and access management system, manages user access capabilities, and selected application transaction profiles. Additionally, it provides access control advice, counsel, and security awareness education to the department. This division, as directed by the Bureau of Human Resources Labor Relations Office, conducts IT forensic investigations. The role of Chief Information Security Officer for the Agency is also found in this division.

Bureau of Infrastructure and Operations

The Bureau of Infrastructure and Operations provides the operations for all Department of Labor and Industry's business processing systems and infrastructure. The Bureau ensures the communications network and computing infrastructures are maintained in a state of high reliability, availability, and serviceability. It provides continuous processing services and support to customers and users throughout the Department of Labor and Industry, managing capacity and performance to maximize operational efficiency. The Bureau manages changes to hardware, software, and systems to ensure continuity and reliability of services, maintains and updates mission critical processing systems as the business and informational needs change. The Bureau provides installation, configuration, security, management and administrative support for all centralized computing platforms, systems and networks within the Department of Labor and Industry.

Infrastructure Division

The Infrastructure Division directs operations and support of the Labor and Industry network. The division provides second level technical support to the Department's LINKS Help Desk. The division ensures the security of the network and manages changes to the operating environment. It provides voice and data services, wireless services, and implements and utilizes network-monitoring tools.

Server Farm Operations Division

The Server Farm Operations division operates and maintains all centralized computing distributed systems platforms and systems used within the Department, including all servers and mass storage devices. This division ensures database integrity within the operating environment, assisting in database expansions, reorganizations and conversions. This division implements backup and recovery procedures and gathers information on database efficiency in the operating environment. Other services provided include execution and coordination of production applications, tape library management, support for all distributed systems and operating systems used within the Department, second level technical support to the Department's LINKS Help Desk, and third level specialized technical support to second level field technicians. This division performs all backup and recovery of servers.

Network Support Services Division

The Network Support Services Division provides connectivity and support services for the Department of Labor and Industry at remote sites. This division provides technical support for the Department's desktop environment, including administration, installation, and operation of the desktop environment, operating systems support, installation, maintenance, configuration, and troubleshooting.

pennsylvania
OFFICE OF ADMINISTRATION

Date:	August 6, 2014
Subject:	UC Benefit Modernization Project Management and IV & V Services
Solicitation Number:	6100029898
Solicitation Due Date:	September 11, 2014
Addendum Number:	1

To All Offerors/Bidders:
The Commonwealth of Pennsylvania defines a solicitation "Addendum" as an addition to or amendment of the original terms, conditions, specification, or instruction of a procurement solicitation (e.g. Invitation for Bids, Request for Quotes and Request for Proposals).

The following changes have been made to the solicitation identified above:

1. The Calendar of Events has been revised and posted to e-market place. Please see revisions below:

Deadline to submit Questions via email to: RA-OITPurchases@state.pa.us]	Contractors	Wednesday, August 13, 2014 by 3:00 PM
Pre-proposal Conference – *[Location]* Office of Information Technology Bureau of IT Procurement Finance Building 613 North Drive, 5th floor Harrisburg, PA 17120 Conference Room 503	Issuing Office/ Contractors	Thursday, August 14, 2014 10:00 AM – 12:00 PM
Answers to Potential Contractor questions posted to the DGS website no later than this date.	Issuing Office	Monday, August 25, 2014 by 3:00 PM
Please monitor the DGS website for all communications regarding the RFQ.	Contractors	Ongoing
Sealed proposal must be received by the Issuing Office at: Bureau of IT Procurement c/o Commonwealth Mail Processing Center 2 Technology Park (rear) Attn: IT Procurement, Christina Geegee-Dugan 506 Finance Building Harrisburg, Pa 17110 Proposals must be time and date stamped by the facility receiving the proposals. Proposals may only be hand-delivered between 6:00 a.m. and 2:45 p.m., Monday through Friday, excluding Commonwealth holidays.	Contractors	Thursday, September 11, 2014 by 1:00 PM

For Solicitation where a "hard copy" (vs. electronic) response if requested:

- If you already submitted a response to the original solicitation, you may either submit a new response, or return this Addendum with a statement that your original response remains firm, by the due date to the following address:

  (Christina Geegee-Dugan), Bureau of IT Procurement
  c/o Commonwealth Mail Processing Center
  2 Technology Park (rear)
  Attn: IT Procurement 506 Finance
  Harrisburg PA 17110

Except as amended by this Addendum, the terms, conditions, specification, and instruction of the solicitation and any previous solicitation addenda, remain as originally written.

Very truly yours,

Name: Christina M. Geegee-Dugan
Title: Commodity Specialist
Phone: 717-346-3826
Email: RA-OITPurchases@pa.gov

pennsylvania
OFFICE OF ADMINISTRATION

Date:	August 14, 2014
Subject:	UC Benefit Modernization Project Management and IV & V Services
Solicitation Number:	6100029898
Solicitation Due Date:	September 11, 2014
Addendum Number:	2

To All Offerors/Bidders:
The Commonwealth of Pennsylvania defines a solicitation "Addendum" as an addition to or amendment of the original terms, conditions, specification, or instruction of a procurement solicitation (e.g. Invitation for Bids, Request for Quotes and Request for Proposals).

The following changes have been made to the solicitation identified above:

1. The Pre-Proposal Conference Attendance List has been posted to E-market Place.
2. The Kiosk & Kiosk Services PowerPoint presentation has been posted to E-Market Place.

For Solicitation where a "hard copy" (vs. electronic) response if requested:

- If you already submitted a response to the original solicitation, you may either submit a new response, or return this Addendum with a statement that your original response remains firm, by the due date to the following address:

  (Christina Geegee-Dugan), Bureau of IT Procurement
  c/o Commonwealth Mail Processing Center
  2 Technology Park (rear)
  Attn: IT Procurement 506 Finance
  Harrisburg PA 17110

Except as amended by this Addendum, the terms, conditions, specification, and instruction of the solicitation and any previous solicitation addenda, remain as originally written.

Very truly yours,

Name: Christina M. Geegee-Dugan
Title: Commodity Specialist
Phone: 717-346-3826
Email: RA-OITPurchases@pa.gov

UC Benefit Modernization Project Management and IV & V Services		
RFQ 6100029898		
8/14/14 10:00 AM		
SIGN IN SHEET		
NAME	**COMPANY**	**EMAIL ADDRESS**
ANDREW MASSON	E & E	AMASSON@ENE-IT-CONSULTING.COM
TIM WALKER	PUBLIC CONSULTING GROUP	twalker@PCGUS.com.
Jim Mahony	CSG Government Solutions	jmahony@csgdelivers.com
Mark Malone	EMC	mark.malone@EMC.com
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Jim Sideris	KPMG	jrideris@KPMG.com
Cedera Dickinson	Lewis Strategic	~~[illegible]~~ kelly@lewisstrategic.com

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RFQ 6100029898		
8/14/14 10:00 AM		
SIGN IN SHEET		
NAME	**COMPANY**	**EMAIL ADDRESS**
Jim Tinney	Logisys, Inc.	jim.tinney@logisysinc.com
Chuck Woods	North Highland	Charles.Woods@northhighland.com
Chris Braun	Image API	chris.braun@imageapi.com

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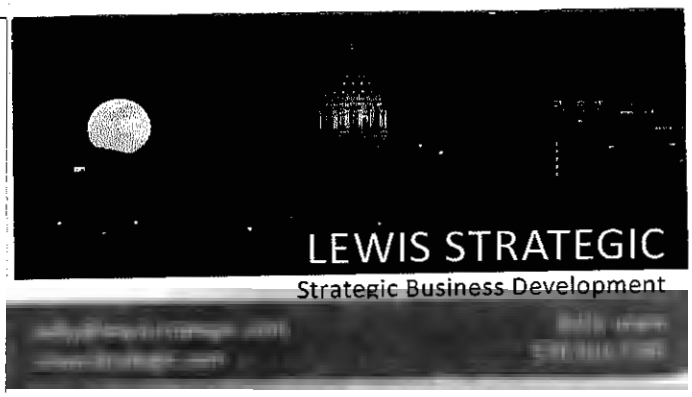

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Vice President

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KPMG LLP is a Delaware limited liability partnership.

Pre-proposal Conference For:

UC Benefit Modernization Project Management and IV & V Services

RFQ 6100029898

Issuing Officer: Christina Geegee-Dugan

August 14, 2014

pennsylvania
OFFICE OF ADMINISTRATION
INFORMATION TECHNOLOGY

Agenda

- Housekeeping
- Introductions
- Bureau of Small Business Opportunities (BSBO)
- Department of Labor & Industry, Project Background
- RFQ Requirements
- Questions and Answers

Housekeeping

- **In the event of a fire drill:**
  - Please exit the room to the rear, continue down the hall and exit through the stairwell. On the ground floor, exit the building and assemble near the flag pole area.

- **Restrooms:**
  - Located to the right of the conference room.

- Sign attendance register
- Provide business card
- Sign-in sheet will be posted to eMarketplace website

Introductions

Agency Representatives:

- **Office for Information Technology:**
  - Christina Geegee-Dugan, Issuing Officer

- **Bureau of Small Business Opportunities (BSBO)**
  - Gayle Nuppnau, Department of General Services, Procurement Liaison

- **Department of Labor & Industry**

  Marie Ryan-Kerr, L & I Program Manager

Bureau of Small Business Opportunities (BSBO)

Gayle Nuppnau

DGS, Procurement Liaison

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INFORMATION TECHNOLOGY

Bureau of Small Business Opportunities

Program designed to encourage participation of Small Diverse Businesses (SDB) in state contracting

Program designed to encourage participation of Small Diverse Businesses (SDB) in state contracting

- A Small Diverse Business is a DGS-verified minority-owned business, woman-owned business, veteran-owned business or service-disabled veteran-owned business.

- A small business is a business in the United States which is independently owned, not dominant in its field of operation, employs no more than 100 full- time or full-time equivalent employees, and earns less than 7$ million in gross annual revenues for building design, $20 million in gross annual revenues for sales and services and $25 million in gross annual revenues for those businesses in the information technology sales or service business.

Bureau of Small Business Opportunities

To receive credit for being a Small Diverse Business or for subcontracting with a Small Diverse Business (including purchasing supplies and/or services through a purchase agreement), a Contractor must include proof of Small Diverse Business qualification in the Small Diverse Business participation submittal of the proposal, as indicated in section II of the RFQ.

- Copy of verification letter
- Small Diverse Business (es) must be named including address and phone
- Letter of intent that specifies the type of goods or services the small diverse business will provide along with percentage of commitment
- All Contractors must include a numerical percentage which represents the total percentage of the work (as a percentage of the total cost in the Cost Submittal) to be performed by the Contractor and not by subcontractors and suppliers
- All Contractors must include a numerical percentage which represents the total percentage of the work (as a percentage of the total cost in the Cost Submittal) to be performed by the Small Diverse business as subcontractors

Contact Information

Bureau of Small Business Opportunities (BSBO)

Ms. Gayle Nuppnau

Procurement Liaison

Telephone: (717) 346-3819

E-Mail: gnuppnau@pa.gov

pennsylvania
DEPARTMENT OF LABOR & INDUSTRY

Department of Labor & Industry

Marie Ryan-Kerr
L & I Program Manager

Background

pennsylvania
DEPARTMENT OF LABOR & INDUSTRY

- Prior efforts to modernize unemployment systems
  - UCMS RFQ started in 2004
  - Custom built system
  - Contract awarded in 2006
  - Wage was implemented in 2008
  - Tax was implemented in 2011
  - Benefits was terminated during UAT (August 2013)

Background

pennsylvania
DEPARTMENT OF LABOR & INDUSTRY

- Re-evaluate options for replacing the aging benefits legacy systems
- Significant changes in unemployment modernization efforts across the nation
  - USDOL funded Consortiums
  - COTS products
  - Utilization of independent PMO to provide assistance for projects of this size

Priorities

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DEPARTMENT OF LABOR & INDUSTRY

- Minimize risks
- Higher confidence approach
- Successful implementation
- Improved testing
- Quality
- Sustainability
- Continuity of services to customers
- Prioritization of requirements
- Data Conversion
- Coordination and integration with other systems and external parties

Scope of RFQ

pennsylvania
DEPARTMENT OF LABOR & INDUSTRY

- Assist the Commonwealth in selecting and implementing a system to replace the IT legacy UC Benefits system in its entirety
- Provide assistance and support to the Commonwealth
  - Selected vendor will NOT be permitted to bid on the implementation work
  - The scope of the implementation effort is the replacement of the UC benefits and UC benefit appeals system(s)
  - Includes an option to extend the contract should the Commonwealth decide to replace the UC tax and wage system

Scope of RFQ

pennsylvania
DEPARTMENT OF LABOR & INDUSTRY

- From the development of a competitive procurement, selection of a solution and vendor, through implementation of the new UC benefits system and initial period of maintenance
  - Project management services
  - Personnel on-demand for specific types of support required
  - Optional implementation oversight services

RFQ Structure

- Proposal is divided into the following three parts:
  - Technical Submittal = 50% of total points
  - Cost Submittal = 30% of total points
  - Small Diverse Business (SDB) Submittal = 20% of total points

- Each Contractor must provide the following: (I-13 Proposals, pg. 7)
  - Twelve (**12**) paper copies of the Technical Submittal,
  - Two (**2**) paper copies of the Cost Submittal,
  - Two (**2**) paper copies of the Small Diverse Business (SDB) ,
  - Two (**2**) complete and exact copies of the entire proposal (Technical, Cost and Small Diverse Business (SDB) Submittals, along with all requested documents) on separate CD-ROMs or flash drives

RFQ Requirements

- Proposal Requirements:
  - The proposal must consist of three separately sealed submittals:
    - Technical;
    - Cost; and
    - Small Diverse Business.
  - The total score for the technical submittal must be greater than or equal to 70% of the available technical points to advance.
  - Do not include any cost information in your technical submittal.
  - Do not include any assumptions in your cost submittal.

Proposal Requirements

Refer to Part II Proposal Requirements for information on submittals.

The submittals set out in section II-1. Submittals will comprise the Proposal.

PART III - Mandatory Requirements

- Mandatory Response Requirements
  - Timely received from a Contractor
  - Properly Signed by the Contractor
    - Please provide a copy of the bylaw, resolution, or letter from General Counsel that authorizes signatory to bind contractor

Proposal Submittal Notes

ADDRESS PROPERLY

Please include:

- RFQ Number – 6100029898
- Number Multiple Package
  (i.e. 1 of 3, 2 of 3, etc.)
- Must be Sealed
- Allow time for delivery

Delivery Address

Sealed proposal must be received on or before Thursday, September 11, 2014 by 1:00 P.M to the Issuing Office at the following address:

Sealed proposals must be received by the Issuing Office:

(Christina Geegee-Dugan), Bureau of IT Procurement
c/o Commonwealth Mail Processing Center
2 Technology Park *(rear)*
Attn: IT Procurement 506 Finance
Harrisburg PA 17110

Note: Hand-delivered proposals must be delivered to the address set forth in the Calendar of Events and must be time and date stamped by the facility receiving the proposals. Proposals may only be hand-delivered between 6:00 a.m. and 2:45 p.m., Monday through Friday, excluding Commonwealth holidays.

Note: If the proposals are hand delivered to 506 Finance Building, your proposal may be rejected.

Calendar of Events

Answers to Potential Contractor questions posted to the DGS website no later than this date.	Issuing Office	Monday, August 25, 2014 by 3:00 PM
Please monitor the DGS website for all communications regarding the RFQ.	Contractors	Ongoing
Sealed proposal must be received by the Issuing Office at: Bureau of IT Procurement c/o Commonwealth Mail Processing Center 2 Technology Park (rear) Attn: IT Procurement, Christina Geegee-Dugan 506 Finance Building Harrisburg, Pa 17110 Proposals must be time and date stamped by the facility receiving the proposals. Proposals may only be hand-delivered between 6:00 a.m. and 2:45 p.m., Monday through Friday, excluding Commonwealth holidays.	Contractors	Thursday, September 11, 2014 by 1:00 PM

Questions & Answers

- Questions
  - Please be sure to write down all your questions on the Q&A sheets provided.

- **Answers provided today are considered unofficial and not binding. All Q&A will become official when posted to DGS e-marketplace website.**

- All questions and responses will be posted on the DGS e-marketplace Website following the conference:

  http://www.emarketplace.state.pa.us

ITQ Information

This is a restricted solicitation, only those contractors qualified in the following service category under the Commonwealth's Information Technology (IT) Services Invitation to Qualify (ITQ) Contract, 4400004480, prior to the bid opening date may respond.

- Consulting Services – IV &V
- Consulting Services – IT Project Management

ITQ Information

Any questions pertaining to the ITQ or to learn how to qualify for the ITQ, please feel free to contact:

Joseph M. Millovich

ITQ Administrator

Telephone: 717-214-3434

Email: jmillovich@pa.gov

Thank you for attending today's pre-proposal conference.

pennsylvania
OFFICE OF ADMINISTRATION

Date:	August 14, 2014
Subject:	UC Benefit Modernization Project Management and IV & V Services
Solicitation Number:	6100029898
Solicitation Due Date:	September 11, 2014
Addendum Number:	3

To All Offerors/Bidders:
The Commonwealth of Pennsylvania defines a solicitation "Addendum" as an addition to or amendment of the original terms, conditions, specification, or instruction of a procurement solicitation (e.g. Invitation for Bids, Request for Quotes and Request for Proposals).

The following changes have been made to the solicitation identified above:

1. A revised Appendix C, Cost Matrix has been posted to E-market Place.

For Solicitation where a "hard copy" (vs. electronic) response if requested:

- If you already submitted a response to the original solicitation, you may either submit a new response, or return this Addendum with a statement that your original response remains firm, by the due date to the following address:

  (Christina Geegee-Dugan), Bureau of IT Procurement
  c/o Commonwealth Mail Processing Center
  2 Technology Park (rear)
  Attn: IT Procurement 506 Finance
  Harrisburg PA 17110

Except as amended by this Addendum, the terms, conditions, specification, and instruction of the solicitation and any previous solicitation addenda, remain as originally written.

Very truly yours,

Name: Christina M. Geegee-Dugan
Title: Commodity Specialist
Phone: 717-346-3826
Email: RA-OITPurchases@pa.gov

INSTRUCTIONS

1.) All sheets must be filled out completely. Fill out all yellow highlighted cells on each worksheet.

2.) Formulas are imbedded in the Worksheets. Offeror's must verify that all calculations, subtotal costs and grand total costs are accurate.

3.) Rate Card: Fill in the Position and Hourly Rate columns.

4.) Deliverables: Fill in the total number of hours for each position per deliverable. All other information is linked and will calculate automatically.

5.) Summary: All information is linked and will calculate automatically.

6.) Please contact the Issuing Officer Christina Geegee-Dugan, via email RA-OITPurchases@state.pa.us with any questions or concerns.

7.) Payment for services under this contract are deliverable-based. The hours listed are for any task or deliverable and for informational purposes only and will not be binding on the Commonwealth

Rate Card

Position	Hourly Rate
Project Manager	$0.00
Project Scheduler	$0.00
Business Architect	$0.00
Business Analyst	$0.00
Solutions Architect	$0.00
Data Architect	$0.00
Extract Transform Load (ETL) Specialist	$0.00
Infrastructure Architect	$0.00
Integration / Configuration Specialist	$0.00
Source code auditor	$0.00
Quality assurance architect	$0.00
Technical Writer	$0.00
Testing Technician	$0.00
Usability Testing Specialist	$0.00
	$0.00
	$0.00
	$0.00
	$0.00
	$0.00
	$0.00

Deliverables Worksheet

Deliverable	Position	Hourly Rate	Hours	Cost
IV-4.A. Project Planning and Management. - Project Charter	Project Manager	$ -		$ -
	Project Scheduler	$ -		$ -
	Business Architect	$ -		$ -
	Business Analyst	$ -		$ -
	Solutions Architect	$ -		$ -
	Data Architect	$ -		$ -
	Extract Transform Load (ETL) Specialist	$ -		$ -
	Infrastructure Architect	$ -		$ -
	Integration / Configuration Specialist	$ -		$ -
	Source code auditor	$ -		$ -
	Quality assurance architect	$ -		$ -
	Technical Writer	$ -		$ -
	Testing Technician	$ -		$ -
	Usability Testing Specialist	$ -		$ -
	0	$ -		$ -
	0	$ -		$ -
	0	$ -		$ -
	0	$ -		$ -
	0	$ -		$ -
	0	$ -		$ -
IV-4.A. Project Planning and Management. - Project Management Plan (including all updates required during project)	Project Manager	$ -		$ -
	Project Scheduler	$ -		$ -
	Business Architect	$ -		$ -
	Business Analyst	$ -		$ -
	Solutions Architect	$ -		$ -
	Data Architect	$ -		$ -
	Extract Transform Load (ETL) Specialist	$ -		$ -
	Infrastructure Architect	$ -		$ -
	Integration / Configuration Specialist	$ -		$ -
	Source code auditor	$ -		$ -
	Quality assurance architect	$ -		$ -
	Technical Writer	$ -		$ -
	Testing Technician	$ -		$ -
	Usability Testing Specialist	$ -		$ -
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IV-4.B. Pre-solicitation - Technical assessment document	Project Manager	$ -		$ -
	Project Scheduler	$ -		$ -
	Business Architect	$ -		$ -
	Business Analyst	$ -		$ -
	Solutions Architect	$ -		$ -
	Data Architect	$ -		$ -
	Extract Transform Load (ETL) Specialist	$ -		$ -
	Infrastructure Architect	$ -		$ -
	Integration / Configuration Specialist	$ -		$ -
	Source code auditor	$ -		$ -
	Quality assurance architect	$ -		$ -
	Technical Writer	$ -		$ -
	Testing Technician	$ -		$ -
	Usability Testing Specialist	$ -		$ -
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Deliverables Worksheet

Deliverable	Position	Hourly Rate	Hours	Cost
IV-4.B. Pre-solicitation - Technical road map	Project Manager	$ -		$ -
	Project Scheduler	$ -		$ -
	Business Architect	$ -		$ -
	Business Analyst	$ -		$ -
	Solutions Architect	$ -		$ -
	Data Architect	$ -		$ -
	Extract Transform Load (ETL) Specialist	$ -		$ -
	Infrastructure Architect	$ -		$ -
	Integration / Configuration Specialist	$ -		$ -
	Source code auditor	$ -		$ -
	Quality assurance architect	$ -		$ -
	Technical Writer	$ -		$ -
	Testing Technician	$ -		$ -
	Usability Testing Specialist	$ -		$ -
	0	$ -		$ -
	0	$ -		$ -
	0	$ -		$ -
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	0	$ -		$ -
	0	$ -		$ -
IV-4.B. Pre-solicitation - Detailed requirements document and requirements traceability matrix	Project Manager	$ -		$ -
	Project Scheduler	$ -		$ -
	Business Architect	$ -		$ -
	Business Analyst	$ -		$ -
	Solutions Architect	$ -		$ -
	Data Architect	$ -		$ -
	Extract Transform Load (ETL) Specialist	$ -		$ -
	Infrastructure Architect	$ -		$ -
	Integration / Configuration Specialist	$ -		$ -
	Source code auditor	$ -		$ -
	Quality assurance architect	$ -		$ -
	Technical Writer	$ -		$ -
	Testing Technician	$ -		$ -
	Usability Testing Specialist	$ -		$ -
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	0	$ -		$ -

Deliverables Worksheet

Deliverable	Position	Hourly Rate	Hours	Cost
IV-4.C. Solicitation and Procurement. - Finalized Statement of Work with all appendices	Project Manager	$ -		$ -
	Project Scheduler	$ -		$ -
	Business Architect	$ -		$ -
	Business Analyst	$ -		$ -
	Solutions Architect	$ -		$ -
	Data Architect	$ -		$ -
	Extract Transform Load (ETL) Specialist	$ -		$ -
	Infrastructure Architect	$ -		$ -
	Integration / Configuration Specialist	$ -		$ -
	Source code auditor	$ -		$ -
	Quality assurance architect	$ -		$ -
	Technical Writer	$ -		$ -
	Testing Technician	$ -		$ -
	Usability Testing Specialist	$ -		$ -
	0	$ -		$ -
	0	$ -		$ -
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	0	$ -		$ -
	0	$ -		$ -
IV-4.C. Solicitation and Procurement. - Finalized documents for Contract	Project Manager	$ -		$ -
	Project Scheduler	$ -		$ -
	Business Architect	$ -		$ -
	Business Analyst	$ -		$ -
	Solutions Architect	$ -		$ -
	Data Architect	$ -		$ -
	Extract Transform Load (ETL) Specialist	$ -		$ -
	Infrastructure Architect	$ -		$ -
	Integration / Configuration Specialist	$ -		$ -
	Source code auditor	$ -		$ -
	Quality assurance architect	$ -		$ -
	Technical Writer	$ -		$ -
	Testing Technician	$ -		$ -
	Usability Testing Specialist	$ -		$ -
	0	$ -		$ -
	0	$ -		$ -
	0	$ -		$ -
	0	$ -		$ -
	0	$ -		$ -
	0	$ -		$ -
IV-4.D. Optional Implementation Oversight. - Test Plans	Project Manager	$ -		$ -
	Project Scheduler	$ -		$ -
	Business Architect	$ -		$ -
	Business Analyst	$ -		$ -
	Solutions Architect	$ -		$ -
	Data Architect	$ -		$ -
	Extract Transform Load (ETL) Specialist	$ -		$ -
	Infrastructure Architect	$ -		$ -
	Integration / Configuration Specialist	$ -		$ -
	Source code auditor	$ -		$ -
	Quality assurance architect	$ -		$ -
	Technical Writer	$ -		$ -
	Testing Technician	$ -		$ -
	Usability Testing Specialist	$ -		$ -
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	0	$ -		$ -
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	0	$ -		$ -
	0	$ -		$ -
	0	$ -		$ -

Deliverables Worksheet

Deliverable	Position	Hourly Rate	Hours	Cost
IV-4.D. Optional Implementation Oversight. - Use Cases	Project Manager	$ -		$ -
	Project Scheduler	$ -		$ -
	Business Architect	$ -		$ -
	Business Analyst	$ -		$ -
	Solutions Architect	$ -		$ -
	Data Architect	$ -		$ -
	Extract Transform Load (ETL) Specialist	$ -		$ -
	Infrastructure Architect	$ -		$ -
	Integration / Configuration Specialist	$ -		$ -
	Source code auditor	$ -		$ -
	Quality assurance architect	$ -		$ -
	Technical Writer	$ -		$ -
	Testing Technician	$ -		$ -
	Usability Testing Specialist	$ -		$ -
	0	$ -		$ -
	0	$ -		$ -
	0	$ -		$ -
	0	$ -		$ -
	0	$ -		$ -
	0	$ -		$ -
IV-4.D. Optional Implementation Oversight. - IV&V Management Plan including all assessment reports and updates	Project Manager	$ -		$ -
	Project Scheduler	$ -		$ -
	Business Architect	$ -		$ -
	Business Analyst	$ -		$ -
	Solutions Architect	$ -		$ -
	Data Architect	$ -		$ -
	Extract Transform Load (ETL) Specialist	$ -		$ -
	Infrastructure Architect	$ -		$ -
	Integration / Configuration Specialist	$ -		$ -
	Source code auditor	$ -		$ -
	Quality assurance architect	$ -		$ -
	Technical Writer	$ -		$ -
	Testing Technician	$ -		$ -
	Usability Testing Specialist	$ -		$ -
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	0	$ -		$ -

Deliverables Worksheet

Deliverable	Position	Hourly Rate	Hours	Cost
IV-4.D. Optional Implementation Oversight. - Final Recommendation report	Project Manager	$ -		$ -
	Project Scheduler	$ -		$ -
	Business Architect	$ -		$ -
	Business Analyst	$ -		$ -
	Solutions Architect	$ -		$ -
	Data Architect	$ -		$ -
	Extract Transform Load (ETL) Specialist	$ -		$ -
	Infrastructure Architect	$ -		$ -
	Integration / Configuration Specialist	$ -		$ -
	Source code auditor	$ -		$ -
	Quality assurance architect	$ -		$ -
	Technical Writer	$ -		$ -
	Testing Technician	$ -		$ -
	Usability Testing Specialist	$ -		$ -
	0	$ -		$ -
	0	$ -		$ -
	0	$ -		$ -
	0	$ -		$ -
	0	$ -		$ -
	0	$ -		$ -
IV-4.D. Optional Implementation Oversight. - Finalized documents for Contract	Project Manager	$ -		$ -
	Project Scheduler	$ -		$ -
	Business Architect	$ -		$ -
	Business Analyst	$ -		$ -
	Solutions Architect	$ -		$ -
	Data Architect	$ -		$ -
	Extract Transform Load (ETL) Specialist	$ -		$ -
	Infrastructure Architect	$ -		$ -
	Integration / Configuration Specialist	$ -		$ -
	Source code auditor	$ -		$ -
	Quality assurance architect	$ -		$ -
	Technical Writer	$ -		$ -
	Testing Technician	$ -		$ -
	Usability Testing Specialist	$ -		$ -
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	0	$ -		$ -
	0	$ -		$ -

Cost Summary

Task/Phase	Deliverable	Total Hours	Total Cost
IV-4.A. Project Planning and Management.	Project Charter	0	$ -
	Project Management Plan (including all updates required during project)	0	$ -
		0	$ -
IV-4.B. Pre-solicitation	Technical assessment document	0	$ -
	Technical road map	0	$ -
	Detailed requirements document and requirements traceability matrix	0	$ -
		0	$ -
IV-4.C. Solicitation and Procurement.	Finalized Statement of Work with all appendices	0	$ -
	Finalized documents for Contract	0	$ -
		0	$ -
Total Deliverable Cost (excluding Optional Implementation Oversight)			**$ -**
Total Deliverable Hours (excluding Optional Implementation Oversight)			**0**
IV-4.D. Optional Implementation Oversight.	Test Plans	0	$ -
	Use Cases	0	$ -
	IV&V Management Plan including all assessment reports and updates	0	$ -
	Final Recommendation report	0	$ -
	Finalized documents for Contract	0	$ -
		0	$ -
Total Deliverable Cost (including Optional Implementation Oversight)			**$ -**
Total Deliverable Hours (including Optional Implementation Oversight)			**0**

pennsylvania
OFFICE OF ADMINISTRATION

Date:	August 25, 2014
Subject:	UC Benefit Modernization Project Management and IV & V Services
Solicitation Number:	6100029898
Solicitation Due Date:	September 11, 2014
Addendum Number:	4

To All Offerors/Bidders:
The Commonwealth of Pennsylvania defines a solicitation "Addendum" as an addition to or amendment of the original terms, conditions, specification, or instruction of a procurement solicitation (e.g. Invitation for Bids, Request for Quotes and Request for Proposals).

The following changes have been made to the solicitation identified above:

1. The UC Benefit Modernization Project Management and IV & V Services questions and answers have been posted to e-market place.
2. A revised UC Benefit Modernization Project Management and IV & V Services RFQ 6100029898 have been posted to e-market place.
   - IV-4. Tasks, D Optional Implementation Oversight, Deliverables, v) Finalized documents for contract – was removed
3. A revised Appendix C, Cost Matrix has been posted to E-market Place.
   - Optional Implementation Oversight, Deliverables, v) Finalized documents for contract – was removed

For Solicitation where a "hard copy" (vs. electronic) response if requested:

- If you already submitted a response to the original solicitation, you may either submit a new response, or return this Addendum with a statement that your original response remains firm, by the due date to the following address:

  (Christina Geegee-Dugan), Bureau of IT Procurement
  c/o Commonwealth Mail Processing Center
  2 Technology Park (rear)
  Attn: IT Procurement 506 Finance
  Harrisburg PA 17110

Except as amended by this Addendum, the terms, conditions, specification, and instruction of the solicitation and any previous solicitation addenda, remain as originally written.

Very truly yours,

Name: Christina M. Geegee-Dugan
Title: Commodity Specialist
Phone: 717-346-3826
Email: RA-OITPurchases@pa.gov

UC Benefit Modernization Project Management and IV&V Services			
RFP 6100029898			
Question #	**Questions**		**Answers**
1	1. I have a quick question. If I understand the above RFQ correctly a company may only bid on those contracts (Consulting Services IV & V / Consulting Services IT Project Management) for which we are listed by the State. Is that correct? The reason I ask is that when looking at the attached spreadsheet it looks like Tata America International Corp. is listed for the Consulting Services IT Project Management and not the Consulting Services IV & V. 2. Does that mean we can only bid on the Project Management Services and precluded from bidding on the Consulting Services IV & V?		1. You only have to be registered under one category in order to submit a bid for this RFQ. 2. No, you will not be precluded.
2	Provide L&I with an independent perspective on the Development and Implementation project activities and promote early detection of both project/product variances. Embedding the delivery of IV&V services and deliverables within a PMO organization is a construct we have not seen used before. For IV&V services to provide an independent perspective on the health of a project these services must be provided by an organization that does not report to the system owner organization. IV&V in addition to assessing the processes and products of the development organization also addresses the plans and processes of the PMO. We believe that the IV&V services should be procured under a separate RFQ in order to maintain the integrity of the services and remove the possibility of a conflict of interest and a lack of objectivity. Would the State consider creating a separate IV&V RFP/contract to help identify and mitigate project risks?		As described in section IV-4.A Project Planning and Management, the selected Contractor's PMO office is required to oversee all phases of the modernization effort and provide leadership, direction, planning and oversight capability in managing the UC Benefits project according to the project plan. This includes, but is not limited to, the project management of the entire UC Benefits project from planning through implementation. The Project Planning and Management task will span the entire project whether the selected Contractor, L&I, or another contractor is performing the IV&V services. The optional implementation oversight task is an additional task to perform IV&V services as it relates to the UC benefits replacement system implementation. The IV & V is an optional service which can be exercised at the Commonwealth's sole discretion. Please see reference IV-4.Tasks D. Optional Implementation Oversight, for additional information.
3	Would you consider extending the submission deadline by 2 weeks to allow us to prepare a quality response?		No.
4	How much is the budget for this contract?		The Commonwealth will not divulge this information.
5	Is this a single awarded or multi awarded contract?		This is a single award contract.
6	Do we have to submit resumes as well? If yes, how many?		Yes, resumes are required. Please see Section II-6 Personnel for further clarification.
7	Is there any incumbent? If yes, please provide the contract number and value.		No, there is no incumbent, this is a new effort.

8	IV&V demands management and financial independence from the specified PMO activities. It would be lacking independence if an entity was performing IV&V services on the various components of PMO that are specified in the RFQ. In reference to the optional IV&V services, would you consider removing all IV&V references from this solicitation?		Please reference response to question #2.	
9	Section IV-4 states that contractors shall provide samples or templates of the deliverables described within this section as part of the proposal. Section D and E of IV-4 reference optional components (IV&V and UC Tax Functionality). Would the Commonwealth please clarify whether sample deliverables are also requested for these two optional tasks?		Sample deliverables are required for the deliverables as identified in section IV-4.D Optional Implementation Oversight. No deliverable samples are required for the IV-4.E. Optional UC Tax Functionality task as no deliverables are identified in this section of the RFQ.	
10	The Commonwealth requires a fit-gap between existing business requirements and to-be requirements. Is it possible for the Commonwealth to share existing "as-is" business requirements documentation at this time? If not, is it possible for the Commonwealth to provide Contractors with some sense of the type and breadth/comprehensiveness of existing business process and requirements documentation that will be made available to the successful Contractor?		The Commonwealth believes that the documentation is too out dated to be of any significant value.	
11	The Project Management Plan deliverable includes a Communications Plan. Will the Commonwealth require the successful Contractor to lead or provide support in executing the Communications plan during this contract?		Yes, the Contractor will be required to lead or provide support based on the roles and responsibilities as identified in Communications plan as accepted by the Commonwealth.	
12	Can the Commonwealth confirm that the deliverable referred to on Pg. 36 as “IV&V Management Plan including all assessment reports and updates” is the same as the deliverable in the Cost Proposal titled “Performance Monitoring Plan with Performance Metrics”		Yes, the Performance Monitoring Plan was renamed to read “IV&V Management Plan including all assessment reports and updates". Appendix C, Cost Matrix was revised to reflect this change. Please reference Addendum 3 posted to e-market place on August 14, 2014.	
13	The RFQ in numerous locations refers to the need for full time staff during the Optional Implementation Oversight task on page 34. The deliverables for that task include an IV&V Management Plan, Test Plans, Use Cases, a final report and Finalized documentation. These deliverables do not appear to align to the need for full time staff. Could the Commonwealth please clarify that full time resources, including a project manager are expected throughout implementation? If yes and full time resources are expected, would the Commonwealth share its expectation on the number of resources required and how those resources are to be allocated to the identified deliverables or does the Commonwealth anticipate a monthly deliverable report to account for these resources?		The Project manager must work full-time at the on-site PMO. The selected Contractor’s staff must be available to work any hours necessary to perform all tasks. The Contractor is responsible for delivering the deliverables as identified in the RFQ. Additional project reports and controls are required as described in section IV-5. Reports and Project Controls.	

14	1. Could you please clarify the definition of COTS referred to in Section IV-3.A point 5. The traditional definition of COTS applies to software that is offered as a product and can be implemented by any number of system integrators (e.g. SAP, Oracle, Siebel etc.). 2. Is that the definition of COTS that PA is considering or is the definition broader to include proprietary pre-built solutions that are implemented only by the solution owner, and not available for implementation by multiple integrators? 3. Also for IV-3.A point 5, does COTS implementation refer to an entire UI Benefits system or can it apply to a sub-segment of Benefits where a COTS product has been implemented such as for Call Center, CRM, or select customer-facing functionality?		1. The Commonwealth defines COTS as Commercial Off the Shelf software. 2. For the purposes of this RFP, the Commonwealth definition of COTS does not include proprietary pre-built solutions. 3. It can apply to a sub-segment of Benefits where a COTS product has been implemented to support unemployment benefits.	
15	There are professional services firms who specialize in providing IV&V services in support of complex IT projects who do not offer all of the specific PMO support services requested in this RFQ. It is also clear in the RFQ that IV&V services are considered “Optional” and may be awarded to the successful bidder at the Commonwealth’s sole discretion. Is it the state’s intention to preserve the ability to solicit IV&V services from another firm, other than the winner of this procurement, if it so chooses?		Yes, the IV & V is an optional service which can be exercised at the Commonwealth's sole discretion. Please see reference IV-4.Tasks D. Optional Implementation Oversight, for additional information.	
16	Will the Commonwealth be responsible for computers, laptops and corresponding software for project personnel?		Please reference Addendum 4 posted to e-market place on August 25, 2014.Section IV-3 Requirements E. Work Locations and hours of operation has been revised to address this question.	
17	Section II-7 contains the standard RFQ language related to training. However, the balance of the RFQ does not refer to training. Does the Commonwealth anticipate training to be in scope of this RFQ? If so, please clarify the type of training that is needed and the number of individuals to be trained.		The Contractor shall identify if training is needed to perform any of the tasks identified in the RFQ.	
18	Can the Contractor add additional roles beyond those identified in the RFQ?		Yes, you may add additional roles.	
19	The Project Planning and Management Section states that the selected contractor shall “Establish a PMO to oversee all phases of the modernization effort,” and provide “oversight capability in managing the UC Benefits project.” Section IV-4, Tasks, item D, Optional Implementation Oversight, states that “At the Commonwealth’s sole discretion, the selected contractor may be required to perform implementation oversight.” Can the Commonwealth provide clarification and elaboration to assist prospective bidders in properly differentiating between the baseline oversight referred to in item A and the optional oversight referred to in item D?		Please reference response to question #2.	

20	In Section IV-3.C, items 1 through 16, contains a detailed specification of staff roles. Are we correct in assuming these roles primarily represent the Commonwealth's vision for the types of skills and experience necessary to effectively oversee, as described in RFQ Section IV-4, Tasks, item A, the work that will be performed by the UC Benefits replacement system Development and Implementation contractor?		Yes. Additional roles beyond those identified in the RFQ may be proposed.	
21	The Calendar of Events states Sealed proposals must be received by the Issuing Office Thursday, September 11, 2014 by 1:00 PM. However the Solicitation site lists a solicitation due date of 9/10/2014. Can the Commonwealth please confirm the proposal due date and time?		Per the Calendar of Events, the proposals are due Thursday, September 11, 2014 by 1:00 PM.	
22	1. The RFQ states "xvii) Use automated tools to assist with validating data conversion." Does the Commonwealth have tools in place or is the vendor to recommend tools for use on the project? 2. How does the Commonwealth anticipate procuring these automated tools?		1. The Contractor is to utilize Contractor's tools to assist with validating data conversion. 2. The Commonwealth will not procure the tools.	
23	Can the Commonwealth please clarify its expectations regarding Use Cases?		The Commonwealth expects the Contractor to develop testing plans and use cases.	
24	The RFQ identifies "Deliverables v) Finalized documents for contract." Please define the Commonwealth's expectations for this deliverable during the Implementation Oversight phase.		The Finalized documents for contract deliverable identified in section IV-4.D Optional Implementation Oversight is duplicative of the Finalized documents for Contract deliverable identified in IV-4.C Solicitation and Procurement. The Finalized documents for contract deliverable identified in section IV-4.D Optional Implementation Oversight has been removed from the RFQ.	
25	Can the Commonwealth please clarify where to include the cost of the IV&V Management Plan in the Cost Matrix?		Please reference Addendum 3 posted to e-market place on August 14, 2014.	
26	In the Optional Implementation Oversight phase, the Cost Matrix identifies "Performance Monitoring Plan with Performance Metrics" as a deliverable. However, this is not included in the list of deliverables for Optional Implementation Oversight in Section IV-4.D. Can the Commonwealth please clarify what to include in the Cost for the "Performance Monitoring Plan with Performance Metrics"?		Yes, the Performance Monitoring Plan was renamed to read "IV&V Management Plan including all assessment reports and updates". Appendix C, Cost Matrix was revised to reflect this change. Please reference Addendum 3 posted to e-market place on August 14, 2014	
27	Can the Commonwealth please verify, what training, if any, does the Commonwealth foresee as required?		Please reference response to question #17.	
28	Can the Commonwealth please clarify if the Cost is evaluated using Total Deliverable Cost (excluding Optional Implementation Services), or the Total Deliverable Cost (including Optional Implementation Oversight Services)?		The cost submittal will be evaluated using the Total Deliverable Hours (including Optional Implementation Oversight).	

29	Can the Commonwealth please clarify if the Small Diverse Business commitment percentage (and documents required for the Small Diverse Business Participation Submittal) is evaluated using Total Deliverable Cost (excluding Optional Implementation Services), or the Total Deliverable Cost (including Optional Implementation Oversight Services)?		The Small Diverse Business commitment percentage must be calculated on the Total Deliverable Cost (excluding Optional Implementation Services) only.	
30	Could the Commonwealth please let us know where the Lobbying Certification and Disclosure Agreement (Appendix F) should be placed in the proposal?		Appendix F, Lobbying Certification and Disclosure Agreement can be placed within your technical proposal.	
31	The RFQ identifies the structure of the PA Office of Info Technology. Will the State OIT be the state's technical lead on the project, or does PA L & I have it's own IT state who will perform this technical lead function?		L&I's OIT will be technical lead for this project.	
32	Would the Commonwealth consider removing the following as a minimum contractor qualifications, Section. IV.3 Requirements, Items(s) #3 and 5. Specific any under item #3 this significantly limits the field of competition within the ITQ category & restricts competition to a very select group of vendors. Under item #5, similar statement. We submit that these selective criteria could provide grounds for a pre-procurement protest. Please remove these criteria as minimum qualifications and consider them as "desirable." Since you are pre-including vendor awarded this contract, will sub-contractors also be pre-included?		Please reference response to question #14.	
33	Sorry to advance this question at such a late date…but since KPMG is the awarded audit services provider under 400006811 one could assume that the referenced oversight project UC PMO Services would conflict or compromise the integrity of this procurement? Also, should KPMG have received prior determination regarding their ability to bid this procurement, one could suppose that confidentiality had been breached allowing KPMG pre-bidding insider information and encouraged them to move forward developing a team for responding. Therefore the question is, should KPMG be precluded from bidding on this contract? Sorry to advance this question at such a late date…but since KPMG is the awarded audit services provider under 400006811 one could assume that the referenced oversight project UC PMO Services would conflict or compromise the integrity of this procurement? Also, should KPMG have received prior determination regarding their ability to bid this procurement, one could suppose that confidentiality had been breached allowing KPMG pre-bidding insider information and encouraged them to move forward developing a team for responding. Therefore the question is, should KPMG be precluded from bidding on this contract?		No prospective proposers have been precluded from proposing; the Commonwealth's position is therefore that no prospective proposers should have been precluded from proposing.	

INFORMATION TECHNOLOGY SERVICES ITQ

REQUEST FOR QUOTATIONS FOR

UC BENEFIT MODERNIZATION PROJECT MANAGEMENT AND IV&V SERVICES

ISSUING OFFICE

OFFICE OF INFORMATION TECHNOLOGY

RFQ NUMBER

6100029898

DATE OF ISSUANCE

July 31, 2014

The Office of Administration, Office of Information Technology has posted solicitation 6100029898 for UC Benefit Modernization Program Management. Please go to the eMarketplace Website to view and download all documentation pertaining to this solicitation.

This is a restricted solicitation, only those contractors qualified in one (1) or more of the following service category(ies) under the Commonwealth's Information Technology (IT) Services Invitation to Qualify (ITQ) Contract, 4400004480, prior to the bid opening date may respond.

- **Consulting Services - IV&V**
- **Consulting Services - IT Project Management**

Organizations interested in doing business with the Commonwealth through this contract must begin by registering with the Commonwealth as a Procurement Supplier. For more information about registration, please view the Registration Guide.

Once an organization is registered with the Commonwealth, they must develop and submit a bid through the PASupplierPortal Website in order to qualify for one, all, or any combination of the service categories associated with this contract. The Commonwealth will evaluate the bid along with all supporting documentation to determine whether the organization meets the minimum eligibility requirements.

For more information about the Commonwealth's Invitation to Qualify contracts and their policies, please visit the ITQ Website.

REQUEST FOR QUOTATIONS

FOR

UC BENEFIT MODERNIZATION PROJECT MANAGEMENT AND IV&V SERVICES

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CALENDAR OF EVENTS

The Commonwealth will make every effort to adhere to the following schedule:

Activity	Responsibility	Date
Deadline to submit Questions via email to: RA-OITPurchases@state.pa.us]	Contractors	Wednesday, August 13, 2014 by 3:00 PM
Pre-proposal Conference – *[Location]* Office of Information Technology Bureau of IT Procurement Finance Building 613 North Drive, 5th floor Harrisburg, PA 17120 Conference Room 503	Issuing Office/ Contractors	Thursday, August 14, 2014 10:00 AM – 12:00 PM
Answers to Potential Contractor questions posted to the DGS website no later than this date.	Issuing Office	Monday, August 25, 2014 by 3:00 PM
Please monitor the DGS website for all communications regarding the RFQ.	Contractors	Ongoing
Sealed proposal must be received by the Issuing Office at: Bureau of IT Procurement c/o Commonwealth Mail Processing Center 2 Technology Park (rear) Attn: IT Procurement, Christina Geegee-Dugan 506 Finance Building Harrisburg, Pa 17110 Proposals must be time and date stamped by the facility receiving the proposals. Proposals may only be hand-delivered between 6:00 a.m. and 2:45 p.m., Monday through Friday, excluding Commonwealth holidays.	Contractors	Thursday, September 11, 2014 by 1:00 PM

PART I

GENERAL INFORMATION

I-1. Purpose

This Request for Quotes ("RFQ") provides to those interested in submitting proposals for the subject procurement ("Contractors") sufficient information to enable them to prepare and submit proposals for the **Office of Information Technology Bureau of IT Procurement's** 's consideration on behalf of the Commonwealth of Pennsylvania ("Commonwealth") to satisfy a need for **UC Benefit Modernization Project Management and IV&V Services** ("Project").

I-2. Issuing Office

The **Office of Information Technology Bureau of IT Procurement** ("Issuing Office") has issued this RFQ on behalf of the Commonwealth. The sole point of contact in the Commonwealth for this RFQ is Christina Geegee-Dugan, Bureau of IT Procurement, 506 Finance Building, Harrisburg, PA 17120, RA-OITPurchases@state.pa.us, the Issuing Officer for this RFQ. Please refer all inquiries to the Issuing Officer.

I-3. Scope

This RFQ contains instructions governing the requested proposals, including the requirements for the information and material to be included; a description of the service to be provided; requirements which Contractors must meet to be eligible for consideration; general evaluation criteria; and other requirements specific to this RFQ.

I-4. Problem Statement

The Department of Labor and Industry (L&I) is seeking to acquire project management and IV&V services to oversee the replacement and modernization of the existing legacy IT systems for the Unemployment Compensation Benefits Program. Additional detail is provided in **Part IV** of this RFQ

I-5. Pre-proposal Conference

The Issuing Office will hold a pre-proposal conference as specified in the Calendar of Events. The purpose of this conference is to provide opportunity for clarification of the RFQ. Contractors should forward all questions to the Issuing Office in accordance with **Part I-6** to ensure adequate time for analysis before the Issuing Office provides an answer. Contractors may also ask questions at the conference. In view of the limited facilities available for the conference, Contractors should limit their representation to **two (2)** individuals per Contractor. The pre-proposal conference is for information only. Any answers furnished during the conference will not be official until they have been verified, in writing, by the Issuing Office. All questions and written answers will be posted on the Department of General Services' ("DGS") website (www.emarketplace.state.pa.us) as an addendum to, and shall become part of, this RFQ. Attendance at the Pre-proposal Conference is optional.

I-6. Questions and Answers

If a Contractor has any questions regarding this RFQ, the Contractor must submit the questions by email (with the subject line "IT ITQ RFQ 6100029898 Question") to the Issuing Officer. Questions must be submitted via email no later than the date and time specified in the Calendar of Events. All questions must be submitted on the **Questions Submittal Template** (**Appendix J** to this RFQ), as an email attachment. The Contractor shall not attempt to contact the Issuing Officer by any other means. The Issuing Officer will post the answers to the DGS website. A Contractor who submits a question *after* the deadline date for receipt of questions indicated on the Calendar of Events assumes the risk that its proposal will not be responsive or competitive because the Commonwealth is not able to respond before the proposal receipt date or in sufficient time for the Contractor to prepare a responsive or competitive

proposal. When submitted after the deadline date for receipt of questions indicated on the Calendar of Events, the Issuing Officer *may* respond to questions of an administrative nature by directing the questioning Contractor to specific provisions in the RFQ. To the extent that the Issuing Office decides to respond to a non-administrative question *after* the deadline date for receipt of questions indicated on the Calendar of Events, the answer will be provided to all Contractors through an addendum.

All questions and responses as posted on the DGS website are considered as an addendum to, and part of, this RFQ. Each Contractor shall be responsible to monitor the DGS website for new or revised RFQ information. The Issuing Office shall not be bound by any verbal information nor shall it be bound by any written information that is not either contained within the RFQ or formally issued as an addendum by the Issuing Office. The Issuing Office does not consider questions to be a protest of the specifications or of the solicitation.

I-7. Addenda to RFQ

If the Issuing Office deems it necessary to revise any part of this RFQ before the proposal response date, the Issuing Office will post an addendum to the DGS website. Answers to the questions asked during the questions and answer period will also be posted to the DGS website as an addendum to the RFQ.

I-8. Electronic Version of RFQ

This RFQ is being made available by electronic means. The Contractor acknowledges and accepts full responsibility to insure that no changes are made to the RFQ. In the event of a conflict between a version of the RFQ in the Contractor's possession and the Issuing Office's version of the RFQ, the Issuing Office's version shall govern.

I-9. Response Date

To be considered, proposals must arrive at the Issuing Office on or before the time and date specified in the RFQ Calendar of Events. Contractors which mail proposals should allow sufficient mail delivery time to ensure timely receipt of their proposals. If, due to inclement weather, natural disaster, or any other cause, the Issuing Office location to which proposals are to be returned is closed on the proposal response date, the deadline for submission shall be automatically extended until the next Commonwealth business day on which the office is open, unless the Issuing Office otherwise notifies Contractors by posting an Addendum to the RFQ. The time for submission of proposals shall remain the same. Late proposals will not be considered.

I-10. Incurring Costs

The Issuing Office is not liable for any costs the Contractor incurs in preparation and submission of its proposal, in participating in the RFQ process or in anticipation of award of a purchase order.

I-11. Economy Of Preparation

Contractors should prepare proposals simply and economically, providing a straightforward, concise description of the Contractor's ability to meet the requirements of the RFQ. Proposals are to be submitted on 8½ by 11 inch paper, 1 inch margins, 12-point font size with consecutive page numbers on the bottom. Duplex printing is acceptable and suggested. Please keep marketing materials to a minimum.

I-12. Small Diverse Business Information

The Issuing Office encourages participation by small diverse businesses as prime contractors, and encourages all prime contractors to make a significant commitment to use small diverse businesses as subcontractors and suppliers**.**

A Small Diverse Business is a DGS-certified minority-owned business, woman-owned business, veteran-owned business or service-disabled veteran-owned business.

A small business is a business in the United States which is independently owned, not dominant in its field of operation, employs no more than 100 full-time or full-time equivalent employees, and earns less than $7 million in gross annual revenues for building design, $20 million in gross annual revenues for sales and services and $25 million in gross annual revenues for those businesses in the information technology sales or service business.

Questions regarding this Program can be directed to:

Department of General Services
Bureau of Small Business Opportunities
Room 611, North Office Building
Harrisburg, PA 17125
Phone: (717) 783-3119
Fax: (717) 787-7052
Email: **gs-bsbo@pa.gov**
Website: www.dgs.state.pa.us

The Department's directory of BSBO-verified minority, women, veteran and service disabled veteran-owned businesses can be accessed from: Searching for Small Diverse Businesses.

I-13. Proposals

To be considered, Contractors should submit a complete response to this RFQ to the Issuing Office, using the format provided in Part II, providing **twelve (12)** paper copies of the Technical Submittal and **two (2)** paper copies of the Cost Submittal and **two (2)** paper copies of the Small Diverse Business (SDB) participation submittal. In addition to the paper copies of the proposal, Contractors shall submit two complete and exact copies of the entire proposal (Technical, Cost and SDB submittals, along with all requested documents) on CD-ROM or Flash drive in Microsoft Office or Microsoft Office-compatible format. The electronic copy must be a mirror image of the paper copy and any spreadsheets must be in Microsoft Excel. The Contractors may not lock or protect any cells or tabs. Contractors should ensure that there is no costing information in the technical submittal. Contractors should not reiterate technical information in the cost submittal. The CD or Flash drive should clearly identify the Contractor and include the name and version number of the virus scanning software that was used to scan the CD or Flash drive before it was submitted. The Contractor shall make no other distribution of its proposal to any other Contractor or Commonwealth official or Commonwealth consultant. Each proposal page should be numbered for ease of reference. An official authorized to bind the Contractor to its provisions must sign the proposal. If the official signs the Proposal Cover Sheet (**Appendix A** to this RFQ) and the Proposal Cover Sheet is attached to the Contractor's proposal, the requirement will be met. For this RFQ, the proposal must remain valid until a purchase order is issued. If the Issuing Office selects the Contractor's proposal for award, the contents of the selected Contractor's proposal will become, except to the extent the contents are changed through Best and Final Offers or negotiations, contractual obligations.

Each Contractor submitting a proposal specifically waives any right to withdraw or modify it, except that the Contractor may withdraw its proposal by written notice received at the Issuing Office's address for proposal delivery prior to the exact hour and date specified for proposal receipt. A Contractor or its authorized representative may withdraw its proposal in person prior to the exact hour and date set for proposal receipt, provided the withdrawing person provides appropriate identification and signs a receipt for the proposal. A Contractor may modify its submitted proposal prior to the exact hour and date set for proposal receipt only by submitting a new sealed proposal or sealed modification which complies with the RFQ requirements.

I-14. Alternate Proposals

The Issuing Office will not accept alternate proposals.

I-15. Proposal Contents

A. Confidential Information. The Commonwealth is not requesting, and does not require, confidential proprietary information or trade secrets to be included as part of Contractors' submissions in order to evaluate proposals submitted in response to this RFQ. Accordingly, except as provided herein, Contractors should not label proposal submissions as confidential or proprietary or trade secret protected. Any Contractor who determines that it must divulge such information as part of its proposal must submit the signed written statement described in subsection c. below and must additionally provide a redacted version of its proposal, which removes only the confidential proprietary information and trade secrets, for required public disclosure purposes.

B. Commonwealth Use. All material submitted with the proposal shall be considered the property of the Commonwealth of Pennsylvania and may be returned only at the Issuing Office's option. The Commonwealth has the right to use any or all ideas not protected by intellectual property rights that are presented in any proposal regardless of whether the proposal becomes part of a purchase order. Notwithstanding any Contractor copyright and/or trademark designations contained on proposals, the Commonwealth shall have the right to make copies and distribute proposals internally and to comply with public record or other disclosure requirements under the provisions of any Commonwealth or United States statute or regulation, or rule or order of any court of competent jurisdiction.

C. Public Disclosure. After the award of a contract pursuant to this RFQ, all proposal submissions are subject to disclosure in response to a request for public records made under the Pennsylvania Right-to-Know-Law, 65 P.S. § 67.101, et seq. If a proposal submission contains confidential proprietary information or trade secrets, a signed written statement to this effect must be provided with the submission in accordance with 65 P.S. § 67.707(b) for the information to be considered exempt under 65 P.S. § 67.708(b) (11) from public records requests (*See* **Appendix D, Trade Secret/Confidential Proprietary Information Notice** and *See* **Appendix E, Trade Secret/ Confidential Information and Public Notice.**). Financial capability information submitted in response to **Part II, Section II-8** of this RFQ is exempt from public records disclosure under 65 P.S. § 67.708(b) (26).

I-16. Contractor's Representations and Authorizations

By submitting its proposal, each Contractor understands, represents, and acknowledges that:

A. All of the Contractor's information and representations in the proposal are true, correct, material and important, and the Issuing Office may rely upon the contents of the proposal in making an award. The Commonwealth shall treat any misstatement, omission or misrepresentation as fraudulent concealment of the true facts relating to the proposal submission, punishable pursuant to 18 Pa. C.S. § 4904.

B. The Contractor has arrived at the price(s) and amounts in its proposal independently and without consultation, communication, or agreement with any other Contractor or potential Contractor.

C. The Contractor has not disclosed the price(s), the amount of the proposal, nor the approximate price(s) or amount(s) of its proposal to any other firm or person who is a Contractor or potential Contractor for this RFQ, and the Contractor shall not disclose any of these items on or before the proposal submission deadline specified in the Calendar of Events of this RFQ.

D. The Contractor has not attempted, nor will it attempt, to induce any firm or person to refrain from submitting a proposal on this purchase order, or to submit a proposal higher than this proposal, or to submit any intentionally high or noncompetitive proposal or other form of complementary proposal.

E. The Contractor makes its proposal 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 proposal.

F. To the best knowledge of the person signing the proposal for the Contractor, the Contractor, its affiliates, subsidiaries, officers, directors, and employees are not currently under investigation by any Local, State, or Federal governmental agency and have not in the last **four** years been convicted or found liable for any act prohibited by Local, State or Federal law in any jurisdiction, involving conspiracy or collusion with respect to bidding or proposing on any public contract, except as the Contractor has disclosed in its proposal.

G. To the best of the knowledge of the person signing the proposal for the Contractor and except as the Contractor has otherwise disclosed in its proposal, the Contractor has no outstanding, delinquent obligations to the Commonwealth including, but not limited to, any state tax liability not being contested on appeal or other obligation of the Contractor that is owed to the Commonwealth.

H. The Contractor is not currently under suspension or debarment by the Commonwealth, any other state or the federal government, and if the Contractor cannot so certify, then it shall submit along with its proposal a written explanation of why it cannot make such certification.

I. The Contractor has not made, under separate contract with the Issuing Office, any recommendations to the Issuing Office concerning the need for the services described in its proposal or the specifications for the services described in the proposal. (*See* Pennsylvania State Adverse Interest Act)

J. The Contractor, by submitting its proposal, authorizes Commonwealth agencies to release to the Commonwealth information concerning the Contractor's Pennsylvania taxes, unemployment compensation and workers' compensation liabilities.

K. The selected Contractor shall not begin to perform until it receives purchase order from the Commonwealth.

I-17. Restriction Of Contact

From the issue date of this RFQ until the Issuing Office selects a proposal for award, the Issuing Officer is the sole point of contact concerning this RFQ. Any violation of this condition may be cause for the Issuing Office to reject the offending Contractor's proposal. If the Issuing Office later discovers that the Contractor has engaged in any violations of this condition, the Issuing Office may reject the offending Contractor's proposal or rescind its purchase order award. Contractors must agree not to distribute any part of their proposals beyond the Issuing Office. A Contractor who shares information contained in its proposal with other Commonwealth personnel and/or competing Contractor personnel may be disqualified.

I-18. Prime Contractor Responsibilities

The selected Contractor will be required to assume responsibility for all services offered in its proposal whether it produces them itself or by subcontract. The Issuing Office and Project Manager will consider the selected Contractor to be the sole point of contact with regard to contractual and purchase order matters.

I-19. Resources

Contractors shall provide all services, supplies, facilities, and other support necessary to complete the identified work, except as otherwise provided in this **Part I-19** and any other resources as listed in **Section IV-3. Requirements E. Work Locations & Hours of Operation.**

I-20. Rejection Of Proposals

The Issuing Office reserves the right, in its sole and complete discretion, to reject any proposal received in response to this RFQ, or to negotiate separately with competing Contractors.

I-21. Discussions for Clarification

Contractors may be required to make an oral or written clarification of their proposals to the Issuing Office to ensure thorough mutual understanding and contractor responsiveness to the solicitation requirements. The Issuing Office will initiate requests for clarification. Clarifications may occur at any stage of the evaluation and selection process prior to issuance of a purchase order.

I-22. Best and Final Offer (BAFO)

A. While not required, the Issuing Office reserves the right to conduct discussions with Contractors for the purpose of obtaining "Best and Final Offers." To obtain Best and Final Offers from Contractors, the Issuing Office may do one or more of the following, in combination and in any order:

1. Schedule oral presentations;

2. Request revised proposals;

3. Conduct a reverse online auction; and

4. Enter into pre-selection negotiations.

B. The following offerors will **not** be invited by the Issuing Office to submit a Best and Final Offer:

1. Those Contractors which the Issuing Office has determined to be not responsible or whose proposals the Issuing Office has determined to be not responsive.

2. Those Contractors, which the Issuing Office has determined in accordance with **Part III, Section III-5**, from the submitted and gathered financial and other information, do not possess the financial capability, experience or qualifications to assure good faith performance of the purchase order.

3. Those Contractors whose score for their technical submittal of the proposal is less than 70% of the total amount of technical points allotted to the technical criterion.

The Issuing Office may further limit participation in the Best and Final Offers process to those remaining responsible Contractors which the Issuing Office has, within its discretion, determined to be within the top competitive range of responsive proposals.

C. Evaluation Criteria found in **Part III, Section III-4**, shall also be used to evaluate the Best and Final Offers.

D. Price reductions offered through any reverse online auction shall have no effect upon the Offeror's Technical Submittal. Dollar commitments to Small Diverse Businesses can be reduced only in the

same percentage as the percent reduction in the total price offered through any reverse online auction or negotiations.

I-23. Notification of Selection

A. Negotiations. The Issuing Office will notify all offerors in writing of the Contractor selected for negotiations after the Issuing Office has determined, taking into consideration all of the evaluation factors, the proposal that is the most advantageous to the Issuing Office.

B. Award. Offerors whose proposals are not selected will be notified when negotiations have been successfully completed and the final negotiated purchase order has been issued to the selected Contractor.

I-24. Purchase Order

The successful Contractor will be issued a purchase order with reference to **IT ITQ Contract #4400004480**. The term of the purchase order will commence on the Effective Date and will end in three (3) years. The Commonwealth, at its sole option, may renew the purchase order for up to an additional two (2) years. The Commonwealth may exercise the renewal(s) in single or multiple year increments, at any time during the purchase order. No work may begin or be reimbursed prior to issuance of the purchase order. The selected Contractor will be paid after submitting invoices, provided it is in accordance with the work plan and approved by the Commonwealth Project Manager. Final payment will not be made until all Project work has been successfully completed.

I-25. Debriefing Conferences

Upon notification of award, Contractors whose proposals were not selected will be given the opportunity to be debriefed. The Issuing Office will schedule the debriefing at a mutually agreeable time. The debriefing will not compare the Contractor with other Contractors, other than the position of the Contractor's proposal in relation to all other Contractor proposals.

I-26. News Releases

Contractors shall not issue news releases, internet postings, advertisements or any other public communications pertaining to this Project without prior written approval of the Issuing Office, and then only in coordination with the Issuing Office.

I-27. Terms and Conditions

The requirements and terms and conditions of **IT ITQ Contract #4400004480** shall govern the purchase order issued as a result of this RFQ.

I-28. Information Technology Policies

This RFQ is subject to the Information Technology Policies (ITP's) {formerly known as Information Technology Bulletins} issued by the Office of Administration, Office for Information Technology (OA-OIT). ITP's may be found at http://www.portal.state.pa.us/portal/server.pt?open=512&objID=416&PageID=210791&mode=2

All proposals must be submitted on the basis that all ITP's are applicable to this procurement. It is the responsibility of the Contractor to read and be familiar with the ITP's. Notwithstanding the foregoing, if the Contractor believes that any ITP is not applicable to this procurement, it must list all such ITP's in its technical response, and explain why it believes the ITP is not applicable. The Issuing Office may, in its sole discretion, accept or reject any request that an ITP not be considered to be applicable to the procurement. The Contractor's failure to list an ITP will result in its waiving its right to do so later, unless the Issuing Office, in its sole discretion, determines that it would be in the best interest of the Commonwealth to waive the pertinent ITPs.

PART II

PROPOSAL REQUIREMENTS

II-1. General Requirements

Contractors must submit their proposals in the format, including heading descriptions, outlined below. To be considered, the proposal must respond to all requirements in this part of the RFQ. Contractors should provide any other information thought to be relevant, but not applicable to the enumerated categories, as an appendix to the Proposal. All cost data relating to this proposal and all Small Diverse Business cost data should be kept separate from and not included in the Technical Submittal. Each Proposal shall consist of the following **three (3)** separately sealed submittals:

A. Technical Submittal, which shall be a response to RFQ **Part II, Sections II-1 through II-9 and** ;

B. Small Diverse Business participation submittal, in response to RFQ **Part II, Section II-10**; and

C. Cost Submittal, in response to RFQ **Part II, Section II-11.**

The Issuing Office reserves the right to request additional information which, in the Issuing Office's opinion, is necessary to assure that the Contractor's competence, number of qualified employees, business organization, and financial resources are adequate to perform according to the RFQ.

The Issuing Office may make investigations as deemed necessary to determine the ability of the Contractor to perform the Project, and the Contractor shall furnish to the Issuing Office all requested information and data. The Issuing Office reserves the right to reject any proposal if the evidence submitted by, or investigation of, such Contractor fails to satisfy the Issuing Office that such Contractor is properly qualified to carry out the obligations of the RFQ and to complete the Project as specified.

II-2. Statement of the Problem

State in succinct terms your understanding of the problem presented or the service required by this RFQ.

II-3. Management Summary

Include a narrative description of the proposed effort and a list of the items to be delivered or services to be provided.

II-4. Work Plan

Describe in narrative form your technical plan for accomplishing the work. Use the task descriptions in **Part IV** of this RFQ as your reference point. Modifications of the task descriptions are permitted; however, reasons for changes should be fully explained. Indicate the number of person hours allocated to each task. Include a Program Evaluation and Review Technique (PERT) or similar type display, time related, showing each event. If more than one approach is apparent, comment on why you chose this approach.

II-5. Prior Experience

Experience shown should be work done by individuals who will be assigned to this project as well as experience of the company. Studies or projects referred to must be identified and the name of the customer shown, including the name, address, telephone number and email address of the responsible official of the customer, company, or agency who may be contacted.

Include experience in Project Management, IV&V services, IT system conversions, data migration, unemployment benefits, software development, SDLC, and any other experience as listed in **Section IV-3.a Contractor Qualifications**.

To the extent possible, references should be selected to represent projects of similar size and complexity to the project described in this RFQ using **Appendix G, Project References**. The Commonwealth at its sole discretion may request references from any or all proposed subcontractors.

Contractor should provide details of any industry-recognized quality standard, to which it is compliant, as well as any industry certifications or awards received.

II-6. Personnel

Include the number of executive and professional personnel, analysts, auditors, researchers, programmers, consultants, etc., who will be engaged in the work. Show where these personnel will be physically located during the time they are engaged in the Project. All personnel assigned to the roles listed in section **IV-3.c Team Qualifications** are considered key personnel. For key personnel include the employee's name and, through a resume or similar document, the Project personnel's education and experience the role(s) they will be assigned on this project as described in section **IV-3.c Team Qualifications**. Indicate the responsibilities each individual will have in this Project and how long each has been with your company. Identify by name any subcontractors you intend to use and the services they will perform. For all key personnel, please complete **Appendix H, Personnel Experience by Key Position**.

Resumes are not to include personal information that will, or will be likely to, require redaction prior to release of the proposal under the Right to Know Law. This includes home addresses and phone numbers, Social Security Numbers, Drivers' License numbers or numbers from state ID cards issued in lieu of a Drivers' License, financial account numbers, etc. If the Commonwealth requires any of this information for security verification or other purposes, the information will be requested separately and as necessary.

II-7. Training

If appropriate, indicate recommended training of agency personnel. Include the agency personnel to be trained, the number to be trained, duration of the program, place of training, curricula, training materials to be used, number and frequency of sessions, and number and level of instructors.

II-8. Financial Capability

Describe your company's financial stability and economic capability to perform the Project requirements. Provide your company's financial statements for the past two (2) fiscal years. If your company is a publicly traded company, please provide a link to your financial records on your company website; otherwise, provide two (2) years of your company's financial documents such as audited financial statements. Financial statements must include the company's Balance Sheet and Income Statement or Profit/Loss Statements. Also include a Dun & Bradstreet comprehensive report if available. The Commonwealth reserves the right to request additional information it deems necessary to evaluate a Contractor's financial capability.

II-9. Emergency Preparedness

To support continuity of operations during an emergency, including a pandemic, the Commonwealth needs a strategy for maintaining operations for an extended period of time. One part of this strategy is to ensure that essential contracts that provide critical business services to the Commonwealth have planned for such an emergency and put contingencies in place to provide needed goods and services.

A. Describe how Contractor anticipates such a crisis will impact its operations.

B. Describe Contractor's emergency response continuity of operations plan. Attach a copy of the plan, or at a minimum, summarize how the plan addresses the following aspects of pandemic preparedness:

1. Employee training (describe Contractor's training plan, and how frequently it will be shared with employees)

2. Identified essential business functions and key employees (within Contractor's organization) necessary to carry them out

3. Contingency plans for:

   - How Contractor will handle staffing issues when a portion of key employees are incapacitated due to illness.

   - How Contractor employees will carry out the essential functions if contagion control measures prevent them from coming to the primary workplace.

4. How Contractor will communicate with staff and suppliers when primary communications systems are overloaded or otherwise fail, including key contacts, chain of communications (including suppliers), etc.

5. How and when Contractor's emergency plan will be tested, and if the plan will be tested by a third-party.

II-10. Small Diverse Business Participation Submittal

A. To receive credit for being a Small Diverse Business or for subcontracting with a Small Diverse Business (including purchasing supplies and/or services through a purchase agreement), a Contractor must include proof of Small Diverse Business qualification in the Small Diverse Business participation submittal of the proposal, as indicated below:

1. A Small Diverse Business verified by BSBO as a Small Diverse Business must provide a photocopy of their verification letter.

B. In addition to the above verification letter, the Contractor must include in the Small Diverse Business participation submittal of the proposal the following information:

1. ***All*** Contractors must include a numerical percentage which represents the total percentage of the work (as a percentage of the total cost in the Cost Submittal) to be performed by the Contractor and not by subcontractors and suppliers.

2. ***All*** Contractors must include a numerical percentage which represents the total percentage of the total cost in the Cost Submittal that the Contractor commits to paying to Small Diverse Businesses (SDBs) as subcontractors. To support its total percentage SDB subcontractor commitment, Contractor must also include:

   a. The percentage and dollar amount of each subcontract commitment to a Small Diverse Business;

b. The name of each Small Diverse Business. The Contractor will not receive credit for stating that after the purchase order is awarded it will find a Small Diverse Business.
c. The services or supplies each Small Diverse Business will provide, including the timeframe for providing the services or supplies.
d. The location where each Small Diverse Business will perform services.
e. The timeframe for each Small Diverse Business to provide or deliver the goods or services.
f. A subcontract or letter of intent signed by the Contractor and the Small Diverse Business (SDB) for each SDB identified in the SDB Submittal. The subcontract or letter of intent must identify the specific work, goods or services the SDB will perform, how the work, goods or services relates to the project, and the specific timeframe during the term of the purchase order and any option/renewal periods when the work, goods or services will be performed or provided. In addition, the subcontract or letter of intent must identify the fixed percentage commitment and associated estimated dollar value that each SDB will receive based on the total value of the initial term of the purchase order as provided in the Contractor's cost submittal. Attached is a Letter of Intent template which may be used to satisfy these requirements. (*See* **Appendix I, Small Diverse Business, Letter of Intent**.)
g. The name, address and telephone number of the primary contact person for each Small Diverse Business.

3. The total percentages and each SDB subcontractor commitment will become contractual obligations once the purchase order is issued.

4. The name and telephone number of the Contractor's project (contact) person for the Small Diverse Business information.

C. The Contractor is required to submit **two** copies of its Small Diverse Business participation submittal. The submittal shall be clearly identified as Small Diverse Business information and sealed in its own envelope, separate from the remainder of the proposal.

D. A Small Diverse Business can be included as a subcontractor with as many prime contractors as it chooses in separate proposals.

E. A Contractor that qualifies as a Small Diverse Business and submits a proposal as a prime Contractor is not prohibited from being included as a subcontractor in separate proposals submitted by other Contractors.

II-11. Cost Submittal

The information requested in this **Part II-11** and **Appendix C (Cost Matrix)** shall constitute the Cost Submittal. The Cost Submittal shall be placed in a separate sealed envelope within the sealed proposal and kept separate from the technical submittal. The total proposed cost must be broken down into the components listed on **Appendix C**.

Contractors should **not** include any assumptions in their cost submittals. If the Contractor includes assumptions in its cost submittal, the Issuing Office may reject the proposal. Contractors should direct in writing to the Issuing Office pursuant to **Part I, Section I-6** of this RFQ, any questions about whether a cost or other component is included or applies. All Contractors will then have the benefit of the Issuing Office's written answer so that all proposals are submitted on the same basis.

The Commonwealth will reimburse the selected Contractor for work satisfactorily performed after issuance of a purchase order and the start of the purchase order term, in accordance with Purchase order requirements.

II-12. Domestic Workforce Utilization

Contractors must complete and sign the Domestic Workforce Utilization Certification attached to this RFQ as **Appendix B**. Contractors who seek consideration for the Domestic Workforce Utilization Certification criterion must complete, sign, and submit the Domestic Workforce Utilization Certification Form in the same sealed envelope with the Technical Submittal.

II-13. Lobbying Certification and Disclosure of Lobbying Activities

This Project will be funded, in whole or in part, with federal monies. Public Law 101-121, Section 319, prohibits federal funds from being expended by the recipient or by any lower tier sub-recipients of a federal contract, grant, loan, or a cooperative agreement to pay any person for influencing, or attempting to influence a federal agency or Congress in connection with the awarding of any federal contract, the making of any federal grant or loan, or entering into any cooperative agreement. All parties who submit proposals in response to this RFQ must sign the "Lobbying Certification Form," (attached as **Appendix F**) and, if applicable, complete the "Disclosure of Lobbying Activities" form available at: http://www.whitehouse.gov/omb/assets/omb/grants/sflllin.pdf.

PART III

CRITERIA FOR SELECTION

III-1. Mandatory Responsiveness Requirements

To be eligible for evaluation, a proposal must:

A. Be timely received from a Contractor; and

B. Properly signed by a Contractor

III-2. Technical Nonconforming Proposals

The Mandatory Responsiveness Requirements set forth in Part III-1 above (a-b) are the only RFQ requirements that the Commonwealth will consider to be *non-waivable*. The Issuing Office reserves the right, in its sole discretion, to (1) waive any other technical or immaterial nonconformities in a Contractor's proposal, (2) allow the Contractor to cure the nonconformity, or (3) consider the nonconformity in the scoring of the Contractor's proposal.

III-3. Evaluation

The Issuing Office has selected a committee of qualified personnel to review and evaluate timely submitted proposals. Independent of the committee, BSBO will evaluate the Small Diverse Business participation submittal and provide the Issuing Office with a rating for this component of each proposal. The Issuing Office will notify in writing of its selection for negotiation the responsible Contractor whose proposal is determined to be the most advantageous to the Commonwealth as determined by the Issuing Office after taking into consideration all of the evaluation factors.

III-4. Evaluation Criteria

The following criteria will be used in evaluating each proposal:

A. **Technical:**

The Issuing Office has established the weight for the Technical criterion for this RFQ as **50%** of the total points. Evaluation will be based upon the following:

- Soundness of Approach
- Personnel / Contractor Qualifications
- Understanding the Problem

The final Technical scores are determined by giving the maximum number of technical points available to the proposal with the highest raw technical score. The remaining proposals are rated by applying the Technical Scoring Formula set forth at the following webpage: http://www.portal.state.pa.us/portal/server.pt/community/RFQ_scoring_formulas_overview/20124.

B. **Cost:**

The Issuing Office has established the weight for the Cost criterion for this RFQ as **30%** of the total points. The cost criterion is rated by giving the proposal with the lowest total cost the maximum number of Cost points available. The remaining proposals are rated by applying the Cost Formula set forth at the following webpage: http://www.portal.state.pa.us/portal/server.pt/community/RFQ_scoring_formulas_overview/20124

C. **Small Diverse Business Participation:**

BSBO has established the weight for the Small Diverse Business (SDB) participation criterion for this RFQ as **20%** of the total points. Each SDB participation submittal will be rated for its approach to enhancing the utilization of SDBs in accordance with the below-listed priority ranking and subject to the following requirements:

1. A business submitting a proposal as a prime Contractor must perform 60% of the total purchase order value to receive points for this criterion under any priority ranking.
2. To receive credit for an SDB subcontracting commitment, the SDB subcontractor must perform at least fifty percent (50%) of the work subcontracted to it.
3. A significant subcontracting commitment is a minimum of five percent (5%) of the total purchase order value.
4. A subcontracting commitment less than five percent (5%) of the total purchase order value is considered nominal and will receive reduced or no additional SDB points depending on the priority ranking.

Priority Rank 1: Proposals submitted by SDBs as prime contractors will receive 150 points. In addition, SDB prime contractors that have significant subcontracting commitments to additional SDBs may receive up to an additional 50 points (200 points total available).

Subcontracting commitments to additional SDBs are evaluated based on the proposal offering the highest total percentage SDB subcontracting commitment. All other Contractors will be scored in proportion to the highest total percentage SDB subcontracting commitment within this ranking. See formula below.

Priority Rank 2: Proposals submitted by SDBs as prime Contractors, with no or nominal subcontracting commitments to additional SDBs, will receive 150 points.

Priority Rank 3: Proposals submitted by non-small diverse businesses as prime Contractors, with significant subcontracting commitments to SDBs, will receive up to 100 points. Proposals submitted with nominal subcontracting commitments to SDBs will receive points equal to the percentage level of their total SDB subcontracting commitment.

SDB subcontracting commitments are evaluated based on the proposal offering the highest total percentage SDB subcontracting commitment. All other Contractors will be scored in proportion to the highest total percentage SDB subcontracting commitment within this ranking. See formula below.

Priority Rank 4: Proposals by non-small diverse businesses as prime Contractors with no SDB subcontracting commitments shall receive no points under this criterion.

To the extent that there are multiple SDB Participation submittals in Priority Rank 1 and/or Priority Rank 3 that offer significant subcontracting commitments to SDBs, the proposal offering the highest total percentage SDB subcontracting commitment shall receive the highest score (or additional points) available in that Priority Rank category and the other proposal(s) in that

category shall be scored in proportion to the highest total percentage SDB subcontracting commitment. Proportional scoring is determined by applying the following formula:

SDB % Being Scored	*x*	*Points/Additional*	=	*Awarded/Additional*
Highest % SDB Commitment		*Points Available**		*SDB Points*

Priority Rank 1 = 50 Additional Points Available
Priority Rank 3 = 100 Total Points Available

Please refer to the following webpage for an illustrative chart which shows SDB scoring based on a hypothetical situation in which the Commonwealth receives proposals for each Priority Rank:
http://www.portal.state.pa.us/portal/server.pt/community/rfp_scoring_formulas_overview/20124

D. **Domestic Workforce Utilization:**
Any points received for the Domestic Workforce Utilization criterion are bonus points in addition to the total points for this RFQ. The maximum amount of bonus points available for this criterion is 3% of the total points for this RFQ.

To the extent permitted by the laws and treaties of the United States, each proposal will be scored for its commitment to use domestic workforce in the fulfillment of the purchase order. Maximum consideration will be given to those Contractors who will perform the contracted direct labor exclusively within the geographical boundaries of the United States or within the geographical boundaries of a country that is a party to the World Trade Organization Government Procurement Agreement. Those who propose to perform a portion of the direct labor outside of the United States and not within the geographical boundaries of a party to the World Trade Organization Government Procurement Agreement will receive a correspondingly smaller score for this criterion. See the following webpage for the Domestic Workforce Utilization Formula:

http://www.portal.state.pa.us/portal/server.pt/community/RFQ_scoring_formulas_overview/20124.
Contractors who seek consideration for this criterion must submit in hardcopy the signed Domestic Workforce Utilization Certification Form in the same sealed envelope with the Technical Submittal. The certification will be included as a contractual obligation when the purchase order is issued.

III-5. Contractor Responsibility

To be responsible, a Contractor must submit a responsive proposal and possess the capability to fully perform the purchase order requirements in all respects and the integrity and reliability to assure good faith performance of the purchase order.

In order for a Contractor to be considered responsible for this RFQ and therefore eligible for selection for best and final offers or selection for purchase order negotiations:

A. The total score for the technical submittal of the Contractor's proposal must be greater than or equal to **70%** of the **available technical points**; and

B. The Contractor's financial information must demonstrate that the Contractor possesses the financial capability to assure good faith performance of the contract. The Issuing Office will review the Contractor's previous two audited annual financial statements, any additional information received from the Contractor, and any other publicly-available financial information concerning the Contractor, and assess each Contractor's financial capacity based on calculating and analyzing various financial ratios, and comparison with industry standards and trends.

A Contractor which fails to demonstrate sufficient financial capability to assure good faith performance of the purchase order as specified herein may be considered by the Issuing Office, in its sole discretion, for Best and Final Offers or purchase order negotiations contingent upon such Contractor providing purchase order performance security, in a form acceptable to the Issuing Office, for twenty percent (20%) of the proposed value of the base term of the purchase order. Based on the financial condition of the Contractor, the Issuing Office may require a certified or bank (cashier's) check, letter of credit, or a performance bond conditioned upon the faithful performance of the purchase order by the Contractor. The required performance security must be issued or executed by a bank or surety company authorized to do business in the Commonwealth. The cost of the required performance security will be the sole responsibility of the Contractor and cannot increase the Contractor's cost proposal or the purchase order cost to the Commonwealth.

Further, the Issuing Office will award a purchase order only to a Contractor determined to be responsible in accordance with the most current version of Commonwealth Management Directive 215.9, Contractor Responsibility Program.

III-6. Final Ranking and Award

A. After any best and final offer process conducted, the Issuing Office will combine the evaluation committee's final technical scores, BSBO's final small diverse business participation scores, the final cost scores, and (when applicable) the domestic workforce utilization scores, in accordance with the relative weights assigned to these areas as set forth in this Part.

B. The Issuing Office will rank responsible Contractors according to the total overall score assigned to each, in descending order.

C. The Issuing Office must select for purchase order negotiations the Contractor with the highest overall score; PROVIDED, HOWEVER, THAT AN AWARD WILL NOT BE MADE TO A CONTRACTOR WHOSE PROPOSAL RECEIVED THE LOWEST TECHNICAL SCORE AND HAD THE LOWEST COST SCORE OF THE RESPONSIVE PROPOSALS RECEIVED FROM RESPONSIBLE CONTRACTORS. IN THE EVENT SUCH A PROPOSAL ACHIEVES THE HIGHEST OVERALL SCORE, IT SHALL BE ELIMINATED FROM CONSIDERATION AND AWARD SHALL BE MADE TO THE CONTRACTOR WITH THE NEXT HIGHEST OVERALL SCORE.

D. The Issuing Office has the discretion to reject all proposals or cancel the request for quotations, at any time prior to the time a purchase order is issued, when it is in the best interests of the Commonwealth. The reasons for the rejection or cancellation shall be made part of the purchase order file.

PART IV

WORK STATEMENT

IV-1. Objectives

A. General

The Department of Labor and Industry L&I is seeking to acquire project management services which include project planning and management, pre-solicitation activities, solicitation, and procurement activities for the replacement and modernization of the existing legacy IT systems for the Unemployment Compensation (UC) Benefits Program.

The selected Contractor shall supplement state expertise, provide unbiased feedback and support to L&I through the implementation of a future system. The contract shall include project management services as well as provide personnel on-demand for specific types of support required; from the development of a competitive procurement, selection of a solution and vendor, through implementation of the new UC benefits system and initial period of maintenance. In addition, the selected Contractor may be required to perform optional implementation oversight services.

The scope of the replacement system shall be the UC benefits and UC benefit appeals functionality, with an option to expand the scope to include additional UC tax functionality once the UC benefits functionality is in production.

See section IV-4. Tasks for additional details on tasks to be performed.

B. Specific

The selected Contractor shall be responsible for providing a lead project manager and support team to create a Project Management Office (PMO) to oversee the modernization of the IT legacy system for UC Benefits Program applications. The PMO shall review existing systems and workflows, conduct research, develop a project strategy, assist in gathering business requirements, serve as a Subject Matter Expert (SME) to assist in the development of an RFP for UC benefits systems replacement, and conduct quality assurance activities as related to implementation and operation of the UC benefits replacement system.

The PMO shall be responsible for the project management of the UC Benefits project for L&I, including; developing the overall strategy and plan to meet the goals and objectives outlined in the charter, gaining stakeholder agreement to the plan and establishing a budget. The PMO shall be responsible for the creation of the Development and Implementation solicitation, including the supporting documentation necessary to clearly articulate the technical requirements and business objectives of the new system. The PMO shall also be responsible for the development of an overall technology roadmap for the new system that leverages scalable technology which can accommodate and anticipate growth into the future, and uses technology assets that are included in the Commonwealth's technology architecture standards.

This RFQ does not include creating a solution. System design, development, deployment and/or support; hardware/software procurement are out of scope of this request.

The selected Contractor is precluded from proposing or acting as a contractor and/or subcontractor on any resulting solicitation from this effort. The selected Contractor must sign a preclusion statement acknowledging this fact.

IV-2. Nature and Scope of the Project

The project is being initiated by L&I's UC Benefits Program. The project shall result in the acquisition of a Project Manager (PM) for the creation and facilitation of a PMO that shall oversee the modernization effort of the existing IT legacy Unemployment Compensation Benefits system in its entirety.

The following provides a high-level overview of the L&I business and technical areas which support the payment of UC benefits:

Office of Information Technology (OIT)

- See **Appendix K OIT Organizational Background**

OIT Bureau of Business Application Development (BBAD)

- UC Division
- Vocational Rehabilitation, Safety and Labor / Management Relations Division
- Compensation and Insurance Division
- Workforce Development Division

OIT Bureau of Infrastructure and Operations (BIO)

- Infrastructure Division
- Server Farm Operations Division
- Mainframe Operations Division
- Network Support Services Division

OIT Bureau of Enterprise Services (BES)

- Project Management Division
- Customer Relations Division
- Security Division
- Business Center of Excellence Division
- Financial & Administrative Services Division

OIT Bureau of Enterprise Architecture (BEA)

- Engineering & Research Division
- Standards Development & Compliance Division
- Data Management & Database Operations Division

The mission of the Department is to deliver UC benefits to Pennsylvania's unemployed workers.

The office of UC Benefits – Policy (OUCB-Policy) is responsible for:

- Administering the delivery of UC benefits in accordance with applicable Federal and State laws, regulations and policies.
- Administering the delivery of UC benefits within the criteria established by the United States Department of Labor (USDOL) through the Unemployment Insurance (UI) Performs performance management system.
- Authorizing the payment of UC benefits
- Developing, implementing, modifying and overseeing UC benefit delivery system and payment procedures for the statewide payment of UC benefits.
- Planning acquisition and implementation of information technology and other infrastructure system to support UC benefit payment.
- Processing various claims, payment, benefit charges and customer support functions.
- Conducting special policy and procedural studies regarding the UC benefit program, including the analysis of proposed legislation and regulations.
- Maintaining accurate up-to-date wage and credit week information on PA covered employers, maintaining interfaces to send and receive wages for Out-of-State or Federal

employers and determining the financial eligibility of persons applying for UC benefits in PA.

- Coordinating with the Pennsylvania Treasury Department, the Comptroller's Office and the Direct Deposit vendor regarding the issuance of UC benefit funds.
- Planning, directing and controlling overpayment activities on a statewide basis in accordance with the standards established by the USDOL.
- Coordinates data exchanges with other agencies to prevent and detect overpayments.
- Reviews, monitors and evaluates the detection, recovery and prosecution processes.
- Maintains the EASE system.
- Reviews and issues determinations on employers' inquiries regarding benefit charges, processes relief from charge appeals, verifies that the proper charges are made to employers'' accounts and makes adjustments as necessary to maintain accurate benefit charge balances for the calculation of individual employer contribution rate.
- Coordinates with other states and the Federal government to resolve issues with claimants who have worked in a state other than Pennsylvania and/or for the Federal government in Military or Civilian roles.
- Provides policy and procedural oversight for UC programs that are partly or wholly federally funded, including benefits payable under the Trade or Disaster programs.
- Coordinates eligibility of individuals under the Federal Health Coverage Tax Credit (HCTC) program.
- Administers the Benefit Accuracy Measurement (BAM) program as part of the UI Quality Control program required by USDOL.
- Processes UC payments and claims adjustments under Federal and PA UC Laws as the result of the determination of overpayment through the eligibility and appeal process.
- Performs collection activities for overpayments, including coordinating with the Office of Chief Counsel, Commonwealth Magistrates and Philadelphia District Attorney's office for collection activities, such as prosecutions and liens.
- Responds to inquiries from employers, including disclosure requests and subpoenas for information.

The Office of UC Service Centers (UCSC) is responsible for processing, adjudicating, and paying UC claims filed in Pennsylvania, as well as providing linkages to reemployment services. UC Service Centers are located geographically throughout Pennsylvania providing direct services to the unemployed worker. The initial claims process requires gathering pertinent information from claimants regarding their previous employment. The continued claims process determines both monetary and non-monetary eligibility for payment of compensation under PA UC Law. UCSC Staff investigate monetary eligibility issues and conduct fact-finding to determine eligibility for non-monetary issues.

Individuals have the option to file their claim via telephone, Internet and in some cases on paper. In addition, an Interactive Voice Response (IVR) is available to apply for continuing weeks. UCSC utilizes an Automated Call Distribution (ACD) System to manage calls.

- UCSC staff process all UC claims and provide a full range of services for state and federal UC programs including taking initial applications for benefits, determining eligibility, processing biweekly claims and connecting claimants to reemployment services.
- Train staff on UC claims processing, adjudications and UC-related initiatives.
- Acquires implements and maintains new technologies to enhance UC claim processing in a call center environment.
- Coordinates UC policy and procedural implementation with OUCB-Policy.

- Monitors budget, personnel, training, labor relations, property management, purchasing and other support services.
- Manages staffing by predicting and adjusting the utilization of Intermittent Intake Interviewers during the peak workload periods.
- Provides services to persons with limited English proficiency.
- Develops marketing and survey materials to acquire and analyze customer feedback.
- Implements corrective action plans, as needed, to meet the USDOL quality and timeliness requirements.

The UC Board of Review (UCBR) has the responsibility to adjudicate appeals regarding eligibility for UC throughout the Commonwealth. This activity is divided into multiple levels of authority. The lower level of authority, commonly referred to as the referee level, is responsible for processing and conducting appeal hearings on eligibility determinations issued by the UCSCs. This activity includes receiving documentation from the UCSC, creating an appeal case, preparing the documents for hearings, scheduling the hearings, conducting the hearings, preparation and issuance of referee decisions.

The higher level of authority, Board level, is responsible for adjudicating appeals from referee decisions. A three-member Board adjudicates entitlement for UC benefits using testimony from the first level appeal, additional documents, evidence and/or testimony received from the parties involved, as well as written legal opinions concerning the merits provided by the Board legal staff. Receipt and preparation of appeals for review by the Board's legal staff and Board members is carried out by UCBR Central Office Appeals staff.

Appeals to the Board's decision, are made to Commonwealth Court. The Board's function in this level of appeal is to provide records and, as required, the Board's legal staff provides legal representation for the Board and the Department.

Appeal cases must be tracked throughout the process to ensure accurate payment of UC benefits when the case is considered final.

IV-3. Requirements Contractors shall describe how it will meet the requirements as described below:

A. **Contractor Qualifications.** The selected Contractor shall meet the following minimum qualifications**:**

1. Managed project(s) of similar size, scope, technology and subject matter.
2. Managed at least two projects where the Prime Contractor served as the PMO support of a legacy system (outdated technology) replacement project. Contractors shall include both private and public sector system experience. Public sector experience is preferred.
3. Managed at least one project where the Prime Contractor served as the PMO support of a state unemployment benefits legacy system replacement project.
4. Experience with industry best practices such as software development life cycle (SDLC).
5. Experience overseeing implementation of Commercial Off the Shelf (COTS) products to support unemployment benefits.
6. Experience overseeing data conversion from a legacy system, including flat files to a relational database.
7. Experience overseeing the design, development and deployment of a new system.
8. Experience with implementing systems subject to state and federal performance and audit requirements.
9. Experience conducting gap analysis between requirements and systems currently in production.

B. **Project Team.**

1. The selected Contractors project team shall consist of at a minimum the roles as described in section IV-3.c Team Qualifications (team members, except the project manager, may hold multiple roles).
2. Provide sufficient staffing numbers and expertise to create and maintain a PMO which can efficiently perform the tasks as described in this RFQ and deliver quality deliverables.
    1) The project manager assigned to this project must be 100% dedicated to this project.

C. **Team Qualifications**. The selected Contractors project team shall meet the minimum qualifications as described below. Contractor staff must have experience for any role they are assigned as part of this project and all team members must have a demonstrated ability to work effectively as a member of a project team.

1. Project Manager
    1) PMI PMP certified
    2) Managed IT project(s) of similar size and scope
    3) Three (3) years of experience in verbal and written communications with clients and technical staff in English
    4) Three (3) years of UI experience

2. Project Scheduler
    1) Experience working within a project environment
    2) One (1) year of eexperience in IT project scheduling
    3) Demonstrated experience with systems development lifecycles (SDLC)
    4) Two (2) years of experience in verbal and written communications with clients and technical staff in English

3. Business Architect
    1) Bachelor's degree in Computer Science, Information Technology or related field
    2) Five (5) years of experience in IT Operations or a technology related area
    3) Two (2) years of experience in developing technology solutions for business
    4) Three (3) years of experience in verbal and written communications with clients and technical staff in English
    5) Experience developing and using high-level models as required to collect, aggregate or disaggregate complex information about the business
    6) Extensive experience planning and deploying either business or IT initiatives
    7) Experience modeling business processes using a variety of tools and techniques
    8) Experience with UI system integration efforts
    9) Experience evaluating current and future technology needs
    10) Experience assessing the pros and cons of proposed solutions
    11) Experience assessing performance, cost, security, scalability, maintainability, and usability

4. Business Analyst
    1) Experience in functional and technical requirements gathering
    2) Demonstrated experience of the SDLC
    3) Three (3) years of experience leading information gathering sessions to capture and document business requirements, business processes, and technical considerations

4) Three (3) years of experience performing complex task analysis to evaluate task flow for applications and web sites
5) Three (3) years of experience producing technical documents such as business requirements documents, use cases, and business specifications
6) Three (3) years of experience in verbal and written communications with clients and technical staff in English
7) Three (3) years of experience leading review sessions to discuss draft documentation and determine the appropriate revisions
8) One (1) year of experience with UI.

5. Technical Writer
   1) Three (3) years of experience in verbal and written communications with clients and technical staff in English
   2) Experience developing User Documentation
   3) Experience developing Technical Documentation
   4) Experience developing Project Process Documentation for Application Teams

6. Solutions Architect
   1) Three (3) years of experience in verbal and written communications with clients and technical staff in English
   2) Product development experience
   3) Bachelor's degree in Computer Science, Information Technology or related field
   4) Minimum of 5 years of experience designing, developing and evaluating large logical and physical data models (500+ tables) using tools similar to and including Erwin/ERX and IBM Rational Rose
   5) Five (5) years of experience in database development and administration using Oracle version 9i or newer in web-based environment. Experience working with Oracle 11g preferred
   6) Five (5) years of experience providing database modeling/DBA services on large, complex multi-year systems development projects (similar in size and scope to the L&I UC Benefits system
   7) Five (5) years of experience performing tuning/troubleshooting of database management systems
   8) Five (5) years of experience conducting database design reviews, reviewing project requirements, identifying entities, attributes and relationship and determining impacts of database changes
   9) Five (5) years of experience developing and enforcing database standards

7. Data Architect
   1) Three (3) years of experience creating and maintaining end to end data architectures
   2) Three (3) years of experience in logical, access, and physical, data modeling
   3) Three (3) years of experience in normalized and dimensional data modeling techniques
   4) Three (3) years of experience with data analysis and mapping
   5) Three (3) years of experience working with modeling tools
   6) Three (3) years of experience using data warehouse, business intelligence and analytics products
   7) Three (3) years of experience in verbal and written communications with clients and technical staff in English

8. Extract Transform Load (ETL) specialist
    1) Three (3) years of experience with SQL on a major relational database management system
    2) Two (2) years of experience loading large amounts of data into database for testing and data conversion purposes
    3) Demonstrated experience with IMS databases, DB2, and flat files
    4) One (1) year of experience preparing smaller testing subsets of data from a larger production database
    5) Three (3) or more years of experience in verbal and written communication with clients in English

9. Infrastructure Architect
    1) Bachelor's degree in Computer Science, Information Technology or related field
    2) Experience creating infrastructure designs and documentation for large and complex IT solutions
    3) Five (5) years of experience managing at least three (3) very large data base projects, both in a mainframe and web environment
    4) Three (3) years of experience with technical leadership directly contributing to production software
    5) Three (3) years of experience in verbal and written communications with clients and technical staff in English

10. Integration / Configuration Specialist
    1) Three (3) years of experience with configuration management, including version control integrated within a software development life cycle
    2) Two (2) years of experience scripting build processes for large applications using Unix scripting, DOS scripting, and SQL scripting for performing database modifications and updates.
    3) Three (3) years of experience in verbal and written communications with clients and technical staff in English

11. Source code auditor
    1) Three (3) years of experience auditing complex systems in java, .NET, or C
    2) Three (3) years of experience in verbal and written communications with clients and technical staff in English
    3) Demonstrated experience in identifying security issues and identifying potential programming issues which may result in unauthorized access to systems

12. Quality assurance manager
    1) Five (5) years of experience designing and developing product testing and quality processes
    2) Demonstrated experience reviewing defects and assessing product quality
    3) Demonstrated experience reviewing for requirements and design quality
    4) IV&V experience for implementation and operation of complex systems is preferred
    5) Three (3) years of experience in verbal and written communications with clients and technical staff in English

13. Quality assurance architect
    1) Three (3) years of experience designing and developing product testing and quality processes

2) Demonstrated experience reviewing defects and assessing product quality
3) Demonstrated experience reviewing for requirements and design quality
4) IV&V experience for implementation and operation of complex systems is preferred
5) Three (3) years of experience in verbal and written communications with clients and technical staff in English

14. Testing Technician
1) Three (3) or more years of experience writing test documentation, including test plans and test scripts
2) Three (3) years of experience evaluating, recommending, and implementing automated test tools and strategies
3) Three (3) years of experience executing test cases and analyzing test outcomes
4) Three (3) years of experience documenting testing status and managing the testing process, including test defect logs
5) Three (3) years of experience in verbal and written communication with clients in English

15. Usability Testing Specialist
1) Two (2) years of experience assisting development teams in the design and development of usability test plans, scenarios, and scripts.
2) Two (2) of experience creating and executing test cases for web sites and software applications
3) Three (3) or more years of experience in verbal and written communication with clients in English

16. Policy Writer
1) Five (5) years of experience in verbal and written communications with clients and technical staff in English
2) Experience composing, maintaining and clarifying business policies and procedures for a public sector organization
3) Experience developing comprehensive policy and procedure manuals
4) Experience creating and indexing online manuals that are easily assessable to employees
5) Experience working through the create, update, review and approval stages for policy and procedure manuals
6) Experience with unemployment benefit services is preferred

D. **Replacement of Personnel**

1. After key personnel are assigned and approved by the Commonwealth, the Contractor may not divert or replace personnel without written approval of the Commonwealth Contracting Officer and in accordance with the following procedures.
1) The selected Contractor must provide notice of proposed diversion or replacement to the Commonwealth Contracting Officer at least thirty (30) calendar days in advance and provide the name, qualifications and background check of the person who will replace the diverted or removed staff. The Commonwealth Contracting Officer will notify the selected Contractor within ten (10) calendar days of the diversion notice whether the proposed diversion is acceptable and if the replacement is approved.

2) The selected project manager cannot be diverted from the project for the duration of the project and replacement of the project manager must be approved by the Commonwealth Contracting Officer.

3) The selected Contractor must provide a minimum of a fourteen (14) calendar day overlap at no additional charge to the Commonwealth for replacement of key personnel.

4) Advance notification and employee overlap is not required for changes in key personnel due to resignations, death and disability, dismissal for cause or dismissal as a result of termination of a subcontract or any other cause that is beyond the control of the selected Contractor or its subcontractor. However, the Commonwealth must approve the replacement staff and receive the same documentation. Replacement of key personnel whose availability changes for reasons beyond the control of the selected Contractor must occur 1) on a temporary basis within one week of the availability change and 2) on a permanent basis no longer than 30 calendar days from the availability change.

2. The Commonwealth Contracting Officer may request that the selected Contractor remove one or more of its staff persons from this project at any time, with thirty (30) calendar days written notice. In the event that a staff person is removed from the project, the selected Contractor will have ten (10) days to fill the vacancy with a staff person acceptable in terms of experience and skills, subject to the Commonwealth Contracting Officer approval.

E. **Work Locations and hours of operation.**

1. The selected Contractor shall operate a full-time PMO to oversee a comprehensive and complex replacement of Pennsylvania's current Unemployment Benefits and Benefit Appeals systems.
2. The PMO shall be on-site at L&I Headquarters in Harrisburg, PA.
   1) The Commonwealth will provide some office space, desktop computers, and peripherals, including Microsoft Office Professional Plus 2010 software for the onsite PMO office. Additional products, such as Microsoft Project 2010 and TechnoSolutions Top Team Analyst would be provided as appropriate for the Contractors onsite project team.
3. The Project manager must work full-time at the on-site PMO.
4. Additional Contractor staff shall work on-site at the on-site PMO as needed to perform the required tasks.
5. The selected Contractor's staff may be required to work at alternate locations to perform certain tasks.
6. The selected Contractor's staff must be available to work any hours necessary to perform all tasks.
7. The project manager must be available during Commonwealth's standard business hours of 8:30 A.M. – 5:00 P.M. Eastern Time (EST or EDT as applicable), Monday through Friday, excluding Commonwealth holidays. Additional or alternate hours may be required during certain phases of the project.

F. **Project Management Methodology.** The selected Contractor shall adhere to industry best practices for project management methodology, such as Project Management Institute's (PMI) methodology. Contractors shall describe its project management methodology which shall be used for this project and provide sample plans and reports.

1. Contractors must utilize the Commonwealth's Microsoft SharePoint for collaboration and project document management.

2. Contractors must utilize TopTeam for Requirements gathering and validation.
3. Contractors must utilize Windows 7 Enterprise edition and Microsoft Office products such as Word, Excel, and PowerPoint.

G. **Policies and Standards.** The selected Contractor shall adhere to all Commonwealth, L&I and other relevant policies, laws, and standards.

H. **Documentation Versioning/Storage** The selected Contractor shall provide electronic versions of all documentation and employ change control processes and version control to ensure documentation is kept current for the duration of the purchase order (PO) resulting from this RFQ. Where appropriate, a table of contents, an index and keywords shall be available for information searching. L&I, at its discretion, may request or accept printed documentation on a case-by-case basis.

IV-4. Tasks The selected Contractor shall perform all activities necessary to perform the tasks listed below, while meeting the requirements of this RFQ. All deliverables shall be in a file and report format agreed to by the Commonwealth. All deliverables are subject to Commonwealth approval before acceptance can occur. Contractors shall provide samples or templates of the deliverables described below with its proposal.

A. **Project Planning and Management.** This task shall include all activities necessary to develop and deliver the deliverables as identified below. This includes, but is not limited to, the following:

1. Establish a PMO to oversee all phases of the modernization effort.
2. Provide leadership, direction, planning and oversight capability in managing the UC Benefits project.
3. Recommend best practices and implement selected practices for managing, tracking, controlling project activities, and documentation.
4. Manage integration, scope, schedule, risk, cost, quality, communications, resources, and procurement.
5. Development of project charter and project management plan documents.
    1) The selected Contractor shall develop the project management plan. The plan shall be reviewed monthly and updated as needed or at the discretion of L&I
    2) **Project Management Plan**. The project management plan shall include, but is not limited to, the following:

        1. **Project Plan.** The project plan must describe the scope of work for the project and how the scope shall be managed. The project plan shall act as a confirmation of project scope, phasing and implementation objectives; and be detailed enough to ensure the product is delivered on time, within projected estimates, and meets all requirements as specified in the RFP. The project plan must include, but is not limited to:

            - Project Scope Statement
            - Scope Management Process
            - Major Milestones /Deliverables
            - Work Breakdown Structure (WBS)
            - Timeline

2. **Risk Management Plan.** The risk management plan must describe the approach used to manage risk throughout the life of the project, how contingency plans are implemented and how project reserves are allocated to handle the risks. The plan shall include the methods for identifying risks, tracking risks, documenting response strategies, escalation, and communicating risk information. The risk management plan shall include:

    - Risk Management Process
    - Roles and Responsibilities
    - Rules/Procedures
    - Risk Impact Analysis Approach
    - Tools

3. **Issue Management Plan.** The issue management plan must describe the approach for capturing, managing, escalating, and communicating issues throughout the life of the project to ensure the project is moving forward and avoids unnecessary delays. The issues management plan shall include:

    - Issues Management Approach
    - Issue Tracking Log
    - Roles and Responsibilities
    - Tools

4. **Change Control Management Plan.** The change control management plan must describe the approach to effectively manage changes throughout the life of a project. The plan shall include the process to track change requests from submittal to final disposition (submission, coordination, review, evaluation, categorization), the method used to communicate change requests and their status (approved, deferred, or rejected), the escalation process if changes cannot be resolved by the review team and the process for project re-baselining. The change control management plan shall include:

    - Change Management Process
    - Roles and Responsibilities
    - Rules/Procedures
    - Change Impact Analysis Approach
    - Change Control Log
    - Tools

5. **Communications Management Plan.** The communications management plan must describe the communications process that will be used throughout the life of the project. The process must include the tools and techniques that shall provide timely and appropriate generation, collection, distribution, storage, retrieval, and disposition of project information. The communications management plan shall include:

    - Communications Management Process
    - Roles and Responsibilities
    - Reporting Tools and Techniques
    - Meeting Types and Frequency

6. **Quality Management Plan.** The quality management plan must describe the approach used to address Quality Assurance (QA) and Quality Control (QC) throughout the life of the project. The quality management plan should identify the quality processes and practices including the periodic reviews, audits and the testing strategy for key deliverables. The plan should also include the criteria by which quality is measured, the tolerances required of product and project deliverables, how compliance is measured and the process for addressing those instances whenever quality measures are out of tolerance or compliance.
   In order to verify the quality and validate the effectiveness of deliverables, the selected Contractor shall develop and maintain a monthly deliverable assessment status report. The monthly assessment report shall include, but not be limited to:

   The monthly deliverable assessment status report template shall be created as part of the quality management plan and shall include at least the following:

   1. Deliverable accuracy.
   2. Deliverable completeness.
   3. Adherence to contractual and functional requirements.
   4. Deliverable feasibility.
   5. Deliverable consistency with overall project and other deliverables.
   6. Deliverable deficiencies, errors, and omissions.
   7. Recommended improvements and remediation.

   The quality management plan shall include:

   - Quality Management Process
   - Roles and Responsibilities
   - Deliverables Assessment
   - Tools
   - Quality Standards

7. **Time Management Plan.** The time management plan must describe the process for controlling the proposed schedule and how the achievement of tasks and milestones will be identified and reported. The plan must also detail the process to identify, resolve, and report resolution of problems such as schedule slippage. The time management plan shall include:

   - Time Management Process
   - Role and Responsibilities
   - Tools and Techniques
   - Work Plan

   Where appropriate, a PERT or GANTT chart display should be used to show project, task, and time relationship.

8. **Capacity Plan.** The Capacity plan, analysis, projections, and standards document(s). The Capacity plan shall include:

- Capacity plan, analysis, and projections document for new system.
- Performance tuning recommendations to development and maintenance teams, such as index recommendations and code efficiencies.
- Code standards and practices document as integrated with any applicable Commonwealth and industry project standards.
- Code review results document.
- Quality standards document (commit/restart, modularity, error handling, etc.) as integrated with any applicable Commonwealth and industry project standards.
- Quality standards review document.
- Standards document for programming languages and application interfaces as integrated with any applicable Commonwealth and industry project standards.
- Standards review results document.
- Review (code, quality, standards, etc.) must be conducted, at a minimum, on a monthly basis.

Deliverables

i) Project Charter

ii) Project Management Plan

B. **Pre-solicitation**. This task shall include all activities necessary to develop and deliver the deliverables as identified below. This includes, but is not limited to, the following:

1. UC systems assessment. The selected Contractor shall perform an as-is assessment of the existing UC systems.
2. Industry Research. The selected Contractor shall perform research. Research shall include, but not be limited to such areas as: UC benefits systems and industry practices, IT industry best practices and any other areas relevant to this project.
4. Requirements Gathering. The selected Contractor shall perform requirements gathering and validation activities. This shall include, but not be limited to, facilitating stakeholder and user requirements gathering sessions, performing a to-be assessment, performing a GAP analysis between the existing (legacy) data and the to-be system data requirements, and developing business, system, and technical requirements and requirements matrix for the replacement UC benefits systems. The selected Contractor shall review all requirement documents to validate that the requirements conform to industry and L&I standards, meet the business needs of L&I and provide the level of clarity and specification to allow the vendors to respond with RFP proposals for a system that shall support L&I business needs. The business requirements document shall be an addendum to the UC Benefits replacement system solicitation.
5. Strategy Consulting. The selected consultant shall hold stakeholder meetings and consult with L&I on the options for UC benefits systems replacement strategies. The selected consultant is required to make recommendations based on industry research and analysis, industry best practices, L&I needs, and risks and benefit analysis. Final decisions on the technical solution(s) are the responsibility of the Commonwealth.

Deliverables:

i) Technical assessment document resulting from the research and analysis of up to three state UI systems and other vendor solutions to identify the best options for Pennsylvania's unemployment system.

1) Identify level of fit with Pennsylvania's business requirements

2) Quality of code
3) Scalability of architecture
4) Extensibility
5) Performance
6) Ease of maintenance and support
7) Cost and time to customize to meet Pennsylvania's business requirements
8) Lessons learned
9) Alignment with Commonwealth standards

ii) A technical road map for moving forward with implementation of PA's unemployment benefits system. The road map shall identify all necessary steps to implement business requirements in the most efficient (time and schedule) manner, with no interruptions to the current business services and minimal rework. The road map shall identify risks associated with the approach and contain risk-mitigation strategies for each identified risk. The road map shall also include Business Case and Cost Benefit Analysis, Identify the goals, objectives and expectations, and include a return on investment analysis.

iii) Detailed requirements document and requirements traceability matrix.

C. **Solicitation and Procurement.** This task shall include all activities necessary to develop and deliver the deliverables as identified below. This includes, but is not limited to, the following:

1. Statement of Work (SOW) development for the inclusion in the solicitation document. The selected Contractor must develop, in coordination with L&I, a SOW for the UC benefits replacement system procurement, based upon L&I's selected system replacement strategy. This shall include all draft versions necessary to result in a finalized SOW and all needed appendices.
2. Work with L&I and Commonwealth procurement staff to integrate the SOW and appendices into the solicitation package(s).
3. Act as a Subject Matter Expert during the solicitation and procurement process. Function as a non-voting, non-scoring role during the procurement process.
4. Provide Negotiation Support - the selected Contractor shall assist the Commonwealth with negotiating a contract for the UC benefits replacement system procurement. The selected Contractor shall assist with negotiating all aspects of the contract, including terms and conditions. The support shall include updating solicitation and negotiation documents as needed to be used in the resulting contract.

Note: Selection of the UC Benefits replacement system Development and Implementation contractor will be the responsibility of the Commonwealth.

Deliverables:

i) Finalized Statement of Work with all appendices
ii) Finalized documents for Contract

D. **Optional Implementation Oversight.** At the Commonwealth's sole discretion, the selected Contractor may be required to provide implementation oversight. This task shall include all activities necessary to develop and deliver the deliverables as identified below. This includes, but is not limited to, the following:

i) IV&V services to oversee all aspects and phases on the UC benefits replacement system implementation. The purpose of the IV&V efforts are to oversee the work performed and analyze the deliverables received from the Development and Implementation contractor. The selected Contractor shall review its own work as it relates to this project as part of its quality assurance plan as described in section IV-4.A.6 **Quality Management Plan**, and will itself be subject to review by the Commonwealth and/or Commonwealth consultants.

ii) Provide qualified IV&V staff to perform IV&V activities.

iii) Provide L&I with an independent perspective on the Development and Implementation project activities and promote early detection of both project/product variances.

iv) Support project life cycle processes to ensure compliance with regulatory, performance, schedule, and budget requirements

v) Validate the project's product and processes to ensure compliance with defined requirements

vi) Develop, manage, and execute an IV&V management plan that is fully integrated into the entire project life cycle. The IV&V management plan shall identify the scope, depth, schedule, tasks, activities, and resource requirements of the IV&V effort.

vii) As part of the IV&V management plan, develop performance metrics and performance monitoring strategy for all aspects of the Development and Implementation project, to include, but not be limited to, the measurement and tracking of project progress against defined deliverables and milestones as they relate to the IV&V items being assessed.

1) Provide ongoing assessment reports related to both the management and technical aspects of the project. This includes, but is not limited to:

a) System engineering assessment of requirements analysis, specification, and interface control

(i) Operating environment assessment of system hardware and software

(ii) Data management assessment of data conversion, software, and database design

(iii) Development environment assessment of hardware and software used for development

(iv) Software architecture assessment of design specifications

(v) Code and testing assessment of product code, unit test, integration test, system test, acceptance test, pilot test

(vi) Product configurations management and documentation

b) Product compliance with non-functional requirements relative to performance, usability, reliability, security, etc.

c) Evaluate solution deployment and adoption approaches and outcomes; provide recommendations to business and technical stakeholders

viii) Evaluate operations and maintenance p**roced**ures and any ongoing changes.

ix) Conduct Verifications through conducting periodic inspections, walkthroughs, and checks

x) Conduct validations through code/unit, integration, functional, and user acceptance validation testing

xi) Perform periodic reviews of, and brief stakeholders on, the progress of IV&V efforts during weekly status reporting as described in section IV-5.C Status Report.

xii) Evaluate and implement corrective actions based upon IV&V findings/recommendations

xiii) Monitor system performance to ensure that all requirements and Service Level Agreements (SLAs) are met.

xiv) Ensure that the awarded contractor(s) is meeting the expectations set in its response to the solicitation.

xv) Conduct interim reviews and feedback to ensure that the design and resulting code shall perform efficiently and is cost-effective to enhance and maintain.

xvi) Validate the new system is being appropriately documented.

xvii) Use automated tools to assist with validating data conversion.

xviii) Develop testing plans and use cases.

xix) Assist with validating interfaces and integration with other systems, including CWDS, UCMS, ICON, etc.

xx) Ensure all components are sufficiently integrated and can share information as defined in the requirements document.
xxi) Participate in system acceptance testing as needed.
xxii) Develop and maintain a structured walkthrough defect tracking log and meeting record.
xxiii) Leverage the Development and Implementation project's change management process to make corrections and/or changes based upon the recommendations of the IV&V team, upon L&I's approval.
xxiv) Final Recommendation report at the end of implementation and warranty period, the selected Contractor shall provide a report showing the solution meets the requirements and adheres to the design documents. Provide supporting evidence that the product does satisfy client requirements. The report shall include the Contractor's recommendation to accept the solution. The selected Contractor shall provide project management, implementation oversight, problem resolution, and system performance monitoring services for a post-implementation warranty period of 14 months.

Deliverables:
i) IV&V Management Plan including all assessment reports and updates
ii) Test Plans
iii) Use Cases
iv) Final Recommendation report

E. **Optional UC Tax Functionality.** If the option to expand the scope to include additional UC tax functionality once the UC benefits functionality is in production is enacted, the selected Contractor may be requested to continue PMO and/or IV&V services for the additional UC tax functionality. A statement of work shall be prepared at that time to receive a fixed cost deliverables based cost quote. All costs shall be based on the rates enclosed in **Appendix C, Cost Matrix.**

IV-5. Reports and Project Controls.

The selected Contractor shall provide project management services throughout the life of the project. In addition to the reports listed below, the selected Contractor shall provide the project management plans, reports, and other deliverables as described in **section IV-4. Tasks**. The selected Contractor shall create, maintain and deliver the plans, reports, and supporting documentation in a format agreed to by the Commonwealth.

A. **Meetings.** The selected Contractor shall hold onsite meetings at L&I as needed, to include, but not be limited to: kickoff meeting, status meetings, stakeholder meetings, and other meetings required to perform the tasks as described in this RFQ. The selected Contractor shall be responsible for meeting materials and meeting notes for all meetings

B. **Project Management Plan.** A project management plan as described in **section IV-4.a Project Planning and management.**

C. **Status Report.** A periodic weekly progress report covering activities, problems, risks and recommendations. This report should be keyed to the work plan the Offeror developed in its proposal, as amended or approved by the Issuing Office. Upon request, the selected Contractor shall brief stakeholders in person on the project status.

D. **Problem Identification Report.** An "as required" report, identifying problem areas. The report should describe the problem and its impact on the overall project and on each affected task. It should list possible courses of action with advantages and disadvantages of each, and include

Offeror recommendations with supporting rationale. The problem identification report must be delivered to L&I promptly after identifying any problem which may have a significant operational impact.

E. **AD Hoc Reporting**. The selected Contractor shall provide ad hoc reports to L&I upon request.

F. **Final Recommendation Report.** A final report, as described in **section IV-4.d Implementation Oversight,** produced for the project to be used by the Commonwealth to assess the success of the project, and a recommendation on final acceptance of the solution.

IV-6. Purchase order Requirements — Small Diverse Business Participation

All purchase orders containing Small Diverse Business participation and must also include a provision requiring the selected Contractor to meet and maintain those commitments made to Small Diverse Businesses at the time of proposal submittal or purchase order negotiation, unless a change in the commitment is approved by the BSBO. All purchase orders containing Small Diverse Business participation must include a provision requiring Small Diverse Business subcontractors to perform at least **50%** of the subcontracted work.

The selected Contractor's commitments to Small Diverse Businesses made at the time of proposal submittal or purchase order negotiation shall, to the extent so provided in the commitment, be maintained throughout the term of the purchase order and through any renewal or extension of the purchase order. Any proposed change must be submitted to BSBO, which will make a recommendation to the Issuing Officer regarding a course of action.

If a purchase order is assigned to another Contractor, the new Contractor must maintain the Small Diverse Business participation of the original purchase order.

The selected Contractor shall complete the Prime Contractor's Quarterly Utilization Report (or similar type document containing the same information) and submit it to the Contracting Officer of the Issuing Office and BSBO within 10 workdays at the end of each quarter the purchase order is in force. This information will be used to determine the actual dollar amount paid to Small Diverse Business subcontractors and suppliers. Also, this information will serve as a record of fulfillment of the commitment the selected Contractor made and for which it received Small Diverse Business participation points. If there was no activity during the quarter then the form must be completed by stating "No activity in this quarter."

NOTE: EQUAL EMPLOYMENT OPPORTUNITY AND CONTRACT COMPLIANCE STATEMENTS REFERRING TO COMPANY EQUAL EMPLOYMENT OPPORTUNITY POLICIES OR PAST CONTRACT COMPLIANCE PRACTICES DO NOT CONSTITUTE PROOF OF SMALL DIVERSE BUSINESS STATUS OR ENTITLE A CONTRACTOR TO RECEIVE CREDIT FOR SMALL DIVERSE BUSINESS UTILIZATION.

INSTRUCTIONS

1.) All sheets must be filled out completely. Fill out all yellow highlighted cells on each worksheet.

2.) Formulas are imbedded in the Worksheets. Offeror's must verify that all calculations, subtotal costs and grand total costs are accurate.

3.) Rate Card: Fill in the Position and Hourly Rate columns.

4.) Deliverables: Fill in the total number of hours for each position per deliverable. All other information is linked and will calculate automatically.

5.) Summary: All information is linked and will calculate automatically.

6.) Please contact the Issuing Officer Christina Geegee-Dugan, via email RA-OITPurchases@state.pa.us with any questions or concerns.

7.) Payment for services under this contract are deliverable-based. The hours listed are for any task or deliverable and for informational purposes only and will not be binding on the Commonwealth

Rate Card

Position	Hourly Rate
Project Manager	$0.00
Project Scheduler	$0.00
Business Architect	$0.00
Business Analyst	$0.00
Solutions Architect	$0.00
Data Architect	$0.00
Extract Transform Load (ETL) Specialist	$0.00
Infrastructure Architect	$0.00
Integration / Configuration Specialist	$0.00
Source code auditor	$0.00
Quality assurance architect	$0.00
Technical Writer	$0.00
Testing Technician	$0.00
Usability Testing Specialist	$0.00
	$0.00
	$0.00
	$0.00
	$0.00
	$0.00
	$0.00

Deliverables Worksheet

Deliverable	Position	Hourly Rate	Hours	Cost
IV-4.A. Project Planning and Management. - Project Charter	Project Manager	$ -		$ -
	Project Scheduler	$ -		$ -
	Business Architect	$ -		$ -
	Business Analyst	$ -		$ -
	Solutions Architect	$ -		$ -
	Data Architect	$ -		$ -
	Extract Transform Load (ETL) Specialist	$ -		$ -
	Infrastructure Architect	$ -		$ -
	Integration / Configuration Specialist	$ -		$ -
	Source code auditor	$ -		$ -
	Quality assurance architect	$ -		$ -
	Technical Writer	$ -		$ -
	Testing Technician	$ -		$ -
	Usability Testing Specialist	$ -		$ -
	0	$ -		$ -
	0	$ -		$ -
	0	$ -		$ -
	0	$ -		$ -
	0	$ -		$ -
	0	$ -		$ -
IV-4.A. Project Planning and Management. - Project Management Plan (including all updates required during project)	Project Manager	$ -		$ -
	Project Scheduler	$ -		$ -
	Business Architect	$ -		$ -
	Business Analyst	$ -		$ -
	Solutions Architect	$ -		$ -
	Data Architect	$ -		$ -
	Extract Transform Load (ETL) Specialist	$ -		$ -
	Infrastructure Architect	$ -		$ -
	Integration / Configuration Specialist	$ -		$ -
	Source code auditor	$ -		$ -
	Quality assurance architect	$ -		$ -
	Technical Writer	$ -		$ -
	Testing Technician	$ -		$ -
	Usability Testing Specialist	$ -		$ -
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	0	$ -		$ -
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IV-4.B. Pre-solicitation - Technical assessment document	Project Manager	$ -		$ -
	Project Scheduler	$ -		$ -
	Business Architect	$ -		$ -
	Business Analyst	$ -		$ -
	Solutions Architect	$ -		$ -
	Data Architect	$ -		$ -
	Extract Transform Load (ETL) Specialist	$ -		$ -
	Infrastructure Architect	$ -		$ -
	Integration / Configuration Specialist	$ -		$ -
	Source code auditor	$ -		$ -
	Quality assurance architect	$ -		$ -
	Technical Writer	$ -		$ -
	Testing Technician	$ -		$ -
	Usability Testing Specialist	$ -		$ -
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Deliverables Worksheet

Deliverable	Position	Hourly Rate	Hours	Cost
IV-4.B. Pre-solicitation - Technical road map	Project Manager	$ -		$ -
	Project Scheduler	$ -		$ -
	Business Architect	$ -		$ -
	Business Analyst	$ -		$ -
	Solutions Architect	$ -		$ -
	Data Architect	$ -		$ -
	Extract Transform Load (ETL) Specialist	$ -		$ -
	Infrastructure Architect	$ -		$ -
	Integration / Configuration Specialist	$ -		$ -
	Source code auditor	$ -		$ -
	Quality assurance architect	$ -		$ -
	Technical Writer	$ -		$ -
	Testing Technician	$ -		$ -
	Usability Testing Specialist	$ -		$ -
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IV-4.B. Pre-solicitation - Detailed requirements document and requirements traceability matrix	Project Manager	$ -		$ -
	Project Scheduler	$ -		$ -
	Business Architect	$ -		$ -
	Business Analyst	$ -		$ -
	Solutions Architect	$ -		$ -
	Data Architect	$ -		$ -
	Extract Transform Load (ETL) Specialist	$ -		$ -
	Infrastructure Architect	$ -		$ -
	Integration / Configuration Specialist	$ -		$ -
	Source code auditor	$ -		$ -
	Quality assurance architect	$ -		$ -
	Technical Writer	$ -		$ -
	Testing Technician	$ -		$ -
	Usability Testing Specialist	$ -		$ -
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Deliverables Worksheet

Deliverable	Position	Hourly Rate	Hours	Cost
IV-4.C. Solicitation and Procurement. - Finalized Statement of Work with all appendices	Project Manager	$ -		$ -
	Project Scheduler	$ -		$ -
	Business Architect	$ -		$ -
	Business Analyst	$ -		$ -
	Solutions Architect	$ -		$ -
	Data Architect	$ -		$ -
	Extract Transform Load (ETL) Specialist	$ -		$ -
	Infrastructure Architect	$ -		$ -
	Integration / Configuration Specialist	$ -		$ -
	Source code auditor	$ -		$ -
	Quality assurance architect	$ -		$ -
	Technical Writer	$ -		$ -
	Testing Technician	$ -		$ -
	Usability Testing Specialist	$ -		$ -
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	0	$ -		$ -
	0	$ -		$ -
IV-4.C. Solicitation and Procurement. - Finalized documents for Contract	Project Manager	$ -		$ -
	Project Scheduler	$ -		$ -
	Business Architect	$ -		$ -
	Business Analyst	$ -		$ -
	Solutions Architect	$ -		$ -
	Data Architect	$ -		$ -
	Extract Transform Load (ETL) Specialist	$ -		$ -
	Infrastructure Architect	$ -		$ -
	Integration / Configuration Specialist	$ -		$ -
	Source code auditor	$ -		$ -
	Quality assurance architect	$ -		$ -
	Technical Writer	$ -		$ -
	Testing Technician	$ -		$ -
	Usability Testing Specialist	$ -		$ -
	0	$ -		$ -
	0	$ -		$ -
	0	$ -		$ -
	0	$ -		$ -
	0	$ -		$ -
	0	$ -		$ -
IV-4.D. Optional Implementation Oversight. - Test Plans	Project Manager	$ -		$ -
	Project Scheduler	$ -		$ -
	Business Architect	$ -		$ -
	Business Analyst	$ -		$ -
	Solutions Architect	$ -		$ -
	Data Architect	$ -		$ -
	Extract Transform Load (ETL) Specialist	$ -		$ -
	Infrastructure Architect	$ -		$ -
	Integration / Configuration Specialist	$ -		$ -
	Source code auditor	$ -		$ -
	Quality assurance architect	$ -		$ -
	Technical Writer	$ -		$ -
	Testing Technician	$ -		$ -
	Usability Testing Specialist	$ -		$ -
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	0	$ -		$ -

Deliverables Worksheet

Deliverable	Position	Hourly Rate	Hours	Cost
IV-4.D. Optional Implementation Oversight. - Use Cases	Project Manager	$ -		$ -
	Project Scheduler	$ -		$ -
	Business Architect	$ -		$ -
	Business Analyst	$ -		$ -
	Solutions Architect	$ -		$ -
	Data Architect	$ -		$ -
	Extract Transform Load (ETL) Specialist	$ -		$ -
	Infrastructure Architect	$ -		$ -
	Integration / Configuration Specialist	$ -		$ -
	Source code auditor	$ -		$ -
	Quality assurance architect	$ -		$ -
	Technical Writer	$ -		$ -
	Testing Technician	$ -		$ -
	Usability Testing Specialist	$ -		$ -
	0	$ -		$ -
	0	$ -		$ -
	0	$ -		$ -
	0	$ -		$ -
	0	$ -		$ -
	0	$ -		$ -
IV-4.D. Optional Implementation Oversight. - IV&V Management Plan including all assessment reports and updates	Project Manager	$ -		$ -
	Project Scheduler	$ -		$ -
	Business Architect	$ -		$ -
	Business Analyst	$ -		$ -
	Solutions Architect	$ -		$ -
	Data Architect	$ -		$ -
	Extract Transform Load (ETL) Specialist	$ -		$ -
	Infrastructure Architect	$ -		$ -
	Integration / Configuration Specialist	$ -		$ -
	Source code auditor	$ -		$ -
	Quality assurance architect	$ -		$ -
	Technical Writer	$ -		$ -
	Testing Technician	$ -		$ -
	Usability Testing Specialist	$ -		$ -
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Deliverables Worksheet

Deliverable	Position	Hourly Rate	Hours	Cost
IV-4.D. Optional Implementation Oversight. - Final Recommendation report	Project Manager	$ -		$ -
	Project Scheduler	$ -		$ -
	Business Architect	$ -		$ -
	Business Analyst	$ -		$ -
	Solutions Architect	$ -		$ -
	Data Architect	$ -		$ -
	Extract Transform Load (ETL) Specialist	$ -		$ -
	Infrastructure Architect	$ -		$ -
	Integration / Configuration Specialist	$ -		$ -
	Source code auditor	$ -		$ -
	Quality assurance architect	$ -		$ -
	Technical Writer	$ -		$ -
	Testing Technician	$ -		$ -
	Usability Testing Specialist	$ -		$ -
	0	$ -		$ -
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	0	$ -		$ -
	0	$ -		$ -
	0	$ -		$ -
	0	$ -		$ -

Cost Summary

Task/Phase	Deliverable	Total Hours	Total Cost
IV-4.A. Project Planning and Management.	Project Charter	0	$ -
	Project Management Plan (including all updates required during project)	0	$ -
		0	$ -
IV-4.B. Pre-solicitation	Technical assessment document	0	$ -
	Technical road map	0	$ -
	Detailed requirements document and requirements traceability matrix	0	$ -
		0	$ -
IV-4.C. Solicitation and Procurement.	Finalized Statement of Work with all appendices	0	$ -
	Finalized documents for Contract	0	$ -
		0	$ -
Total Deliverable Cost (excluding Optional Implementation Oversight)			**$ -**
Total Deliverable Hours (excluding Optional Implementation Oversight)			**0**
IV-4.D. Optional Implementation Oversight.	Test Plans	0	$ -
	Use Cases	0	$ -
	IV&V Management Plan including all assessment reports and updates	0	$ -
	Final Recommendation report	0	$ -
		0	$ -
Total Deliverable Cost (including Optional Implementation Oversight)			**$ -**
Total Deliverable Hours (including Optional Implementation Oversight)			**0**

pennsylvania
OFFICE OF ADMINISTRATION

Date:	August 27, 2014
Subject:	UC Benefit Modernization Project Management and IV & V Services
Solicitation Number:	6100029898
Solicitation Due Date:	September 11, 2014
Addendum Number:	5

To All Offerors/Bidders:
The Commonwealth of Pennsylvania defines a solicitation "Addendum" as an addition to or amendment of the original terms, conditions, specification, or instruction of a procurement solicitation (e.g. Invitation for Bids, Request for Quotes and Request for Proposals).

The following changes have been made to the solicitation identified above:

1. The Commonwealth has revised the answer to question #32; please see the revised questions and answers posted to e-market place.

For Solicitation where a "hard copy" (vs. electronic) response if requested:

- If you already submitted a response to the original solicitation, you may either submit a new response, or return this Addendum with a statement that your original response remains firm, by the due date to the following address:

  (Christina Geegee-Dugan), Bureau of IT Procurement
  c/o Commonwealth Mail Processing Center
  2 Technology Park (rear)
  Attn: IT Procurement 506 Finance
  Harrisburg PA 17110

Except as amended by this Addendum, the terms, conditions, specification, and instruction of the solicitation and any previous solicitation addenda, remain as originally written.

Very truly yours,

Name: Christina M. Geegee-Dugan
Title: Commodity Specialist
Phone: 717-346-3826
Email: RA-OITPurchases@pa.gov

UC Benefit Modernization Project Management and IV&V Services			
RFQ 6100029898			
Question #	**Questions**		**Answers**
1	1. I have a quick question. If I understand the above RFQ correctly a company may only bid on those contracts (Consulting Services IV & V / Consulting Services IT Project Management) for which we are listed by the State. Is that correct? The reason I ask is that when looking at the attached spreadsheet it looks like Tata America International Corp. is listed for the Consulting Services IT Project Management and not the Consulting Services IV & V. 2. Does that mean we can only bid on the Project Management Services and precluded from bidding on the Consulting Services IV & V?		1. You only have to be registered under one category in order to submit a bid for this RFQ. 2. No, you will not be precluded.
2	Provide L&I with an independent perspective on the Development and Implementation project activities and promote early detection of both project/product variances. Embedding the delivery of IV&V services and deliverables within a PMO organization is a construct we have not seen used before. For IV&V services to provide an independent perspective on the health of a project these services must be provided by an organization that does not report to the system owner organization. IV&V in addition to assessing the processes and products of the development organization also addresses the plans and processes of the PMO. We believe that the IV&V services should be procured under a separate RFQ in order to maintain the integrity of the services and remove the possibility of a conflict of interest and a lack of objectivity. Would the State consider creating a separate IV&V RFP/contract to help identify and mitigate project risks?		As described in section IV-4.A Project Planning and Management, the selected Contractor's PMO office is required to oversee all phases of the modernization effort and provide leadership, direction, planning and oversight capability in managing the UC Benefits project according to the project plan. This includes, but is not limited to, the project management of the entire UC Benefits project from planning through implementation. The Project Planning and Management task will span the entire project whether the selected Contractor, L&I, or another contractor is performing the IV&V services. The optional implementation oversight task is an additional task to perform IV&V services as it relates to the UC benefits replacement system implementation. The IV & V is an optional service which can be exercised at the Commonwealth's sole discretion. Please see reference IV-4.Tasks D. Optional Implementation Oversight, for additional information.
3	Would you consider extending the submission deadline by 2 weeks to allow us to prepare a quality response?		No.
4	How much is the budget for this contract?		The Commonwealth will not divulge this information.
5	Is this a single awarded or multi awarded contract?		This is a single award contract.
6	Do we have to submit resumes as well? If yes, how many?		Yes, resumes are required. Please see Section II-6 Personnel for further clarification.
7	Is there any incumbent? If yes, please provide the contract number and value.		No, there is no incumbent, this is a new effort.

8	IV&V demands management and financial independence from the specified PMO activities. It would be lacking independence if an entity was performing IV&V services on the various components of PMO that are specified in the RFQ. In reference to the optional IV&V services, would you consider removing all IV&V references from this solicitation?		Please reference response to question #2.	
9	Section IV-4 states that contractors shall provide samples or templates of the deliverables described within this section as part of the proposal. Section D and E of IV-4 reference optional components (IV&V and UC Tax Functionality). Would the Commonwealth please clarify whether sample deliverables are also requested for these two optional tasks?		Sample deliverables are required for the deliverables as identified in section IV-4.D Optional Implementation Oversight. No deliverable samples are required for the IV-4.E. Optional UC Tax Functionality task as no deliverables are identified in this section of the RFQ.	
10	The Commonwealth requires a fit-gap between existing business requirements and to-be requirements. Is it possible for the Commonwealth to share existing "as-is" business requirements documentation at this time? If not, is it possible for the Commonwealth to provide Contractors with some sense of the type and breadth/comprehensiveness of existing business process and requirements documentation that will be made available to the successful Contractor?		The Commonwealth believes that the documentation is too out dated to be of any significant value.	
11	The Project Management Plan deliverable includes a Communications Plan. Will the Commonwealth require the successful Contractor to lead or provide support in executing the Communications plan during this contract?		Yes, the Contractor will be required to lead or provide support based on the roles and responsibilities as identified in Communications plan as accepted by the Commonwealth.	
12	Can the Commonwealth confirm that the deliverable referred to on Pg. 36 as “IV&V Management Plan including all assessment reports and updates” is the same as the deliverable in the Cost Proposal titled “Performance Monitoring Plan with Performance Metrics”		Yes, the Performance Monitoring Plan was renamed to read “IV&V Management Plan including all assessment reports and updates". Appendix C, Cost Matrix was revised to reflect this change. Please reference Addendum 3 posted to e-market place on August 14, 2014.	
13	The RFQ in numerous locations refers to the need for full time staff during the Optional Implementation Oversight task on page 34. The deliverables for that task include an IV&V Management Plan, Test Plans, Use Cases, a final report and Finalized documentation. These deliverables do not appear to align to the need for full time staff. Could the Commonwealth please clarify that full time resources, including a project manager are expected throughout implementation? If yes and full time resources are expected, would the Commonwealth share its expectation on the number of resources required and how those resources are to be allocated to the identified deliverables or does the Commonwealth anticipate a monthly deliverable report to account for these resources?		The Project manager must work full-time at the on-site PMO. The selected Contractor’s staff must be available to work any hours necessary to perform all tasks. The Contractor is responsible for delivering the deliverables as identified in the RFQ. Additional project reports and controls are required as described in section IV-5. Reports and Project Controls.	

14	1. Could you please clarify the definition of COTS referred to in Section IV-3.A point 5. The traditional definition of COTS applies to software that is offered as a product and can be implemented by any number of system integrators (e.g. SAP, Oracle, Siebel etc.). 2. Is that the definition of COTS that PA is considering or is the definition broader to include proprietary pre-built solutions that are implemented only by the solution owner, and not available for implementation by multiple integrators? 3. Also for IV-3.A point 5, does COTS implementation refer to an entire UI Benefits system or can it apply to a sub-segment of Benefits where a COTS product has been implemented such as for Call Center, CRM, or select customer-facing functionality?		1. The Commonwealth defines COTS as Commercial Off the Shelf software. 2. For the purposes of this RFP, the Commonwealth definition of COTS does not include proprietary pre-built solutions. 3. It can apply to a sub-segment of Benefits where a COTS product has been implemented to support unemployment benefits.	
15	There are professional services firms who specialize in providing IV&V services in support of complex IT projects who do not offer all of the specific PMO support services requested in this RFQ. It is also clear in the RFQ that IV&V services are considered “Optional” and may be awarded to the successful bidder at the Commonwealth’s sole discretion. Is it the state’s intention to preserve the ability to solicit IV&V services from another firm, other than the winner of this procurement, if it so chooses?		Yes, the IV & V is an optional service which can be exercised at the Commonwealth's sole discretion. Please see reference IV-4.Tasks D. Optional Implementation Oversight, for additional information.	
16	Will the Commonwealth be responsible for computers, laptops and corresponding software for project personnel?		Please reference Addendum 4 posted to e-market place on August 25, 2014.Section IV-3 Requirements E. Work Locations and hours of operation has been revised to address this question.	
17	Section II-7 contains the standard RFQ language related to training. However, the balance of the RFQ does not refer to training. Does the Commonwealth anticipate training to be in scope of this RFQ? If so, please clarify the type of training that is needed and the number of individuals to be trained.		The Contractor shall identify if training is needed to perform any of the tasks identified in the RFQ.	
18	Can the Contractor add additional roles beyond those identified in the RFQ?		Yes, you may add additional roles.	
19	The Project Planning and Management Section states that the selected contractor shall “Establish a PMO to oversee all phases of the modernization effort,” and provide “oversight capability in managing the UC Benefits project.” Section IV-4, Tasks, item D, Optional Implementation Oversight, states that “At the Commonwealth’s sole discretion, the selected contractor may be required to perform implementation oversight.” Can the Commonwealth provide clarification and elaboration to assist prospective bidders in properly differentiating between the baseline oversight referred to in item A and the optional oversight referred to in item D?		Please reference response to question #2.	

20	In Section IV-3.C, items 1 through 16, contains a detailed specification of staff roles. Are we correct in assuming these roles primarily represent the Commonwealth's vision for the types of skills and experience necessary to effectively oversee, as described in RFQ Section IV-4, Tasks, item A, the work that will be performed by the UC Benefits replacement system Development and Implementation contractor?		Yes. Additional roles beyond those identified in the RFQ may be proposed.	
21	The Calendar of Events states Sealed proposals must be received by the Issuing Office Thursday, September 11, 2014 by 1:00 PM. However the Solicitation site lists a solicitation due date of 9/10/2014. Can the Commonwealth please confirm the proposal due date and time?		Per the Calendar of Events, the proposals are due Thursday, September 11, 2014 by 1:00 PM.	
22	1. The RFQ states "xvii) Use automated tools to assist with validating data conversion." Does the Commonwealth have tools in place or is the vendor to recommend tools for use on the project? 2. How does the Commonwealth anticipate procuring these automated tools?		1. The Contractor is to utilize Contractor's tools to assist with validating data conversion. 2. The Commonwealth will not procure the tools.	
23	Can the Commonwealth please clarify its expectations regarding Use Cases?		The Commonwealth expects the Contractor to develop testing plans and use cases.	
24	The RFQ identifies "Deliverables v) Finalized documents for contract." Please define the Commonwealth's expectations for this deliverable during the Implementation Oversight phase.		The Finalized documents for contract deliverable identified in section IV-4.D Optional Implementation Oversight is duplicative of the Finalized documents for Contract deliverable identified in IV-4.C Solicitation and Procurement. The Finalized documents for contract deliverable identified in section IV-4.D Optional Implementation Oversight has been removed from the RFQ.	
25	Can the Commonwealth please clarify where to include the cost of the IV&V Management Plan in the Cost Matrix?		Please reference Addendum 3 posted to e-market place on August 14, 2014.	
26	In the Optional Implementation Oversight phase, the Cost Matrix identifies "Performance Monitoring Plan with Performance Metrics" as a deliverable. However, this is not included in the list of deliverables for Optional Implementation Oversight in Section IV-4.D. Can the Commonwealth please clarify what to include in the Cost for the "Performance Monitoring Plan with Performance Metrics"?		Yes, the Performance Monitoring Plan was renamed to read "IV&V Management Plan including all assessment reports and updates". Appendix C, Cost Matrix was revised to reflect this change. Please reference Addendum 3 posted to e-market place on August 14, 2014	
27	Can the Commonwealth please verify, what training, if any, does the Commonwealth foresee as required?		Please reference response to question #17.	
28	Can the Commonwealth please clarify if the Cost is evaluated using Total Deliverable Cost (excluding Optional Implementation Services), or the Total Deliverable Cost (including Optional Implementation Oversight Services)?		The cost submittal will be evaluated using the Total Deliverable Hours (including Optional Implementation Oversight).	

29	Can the Commonwealth please clarify if the Small Diverse Business commitment percentage (and documents required for the Small Diverse Business Participation Submittal) is evaluated using Total Deliverable Cost (excluding Optional Implementation Services), or the Total Deliverable Cost (including Optional Implementation Oversight Services)?		The Small Diverse Business commitment percentage must be calculated on the Total Deliverable Cost (excluding Optional Implementation Services) only.	
30	Could the Commonwealth please let us know where the Lobbying Certification and Disclosure Agreement (Appendix F) should be placed in the proposal?		Appendix F, Lobbying Certification and Disclosure Agreement can be placed within your technical proposal.	
31	The RFQ identifies the structure of the PA Office of Info Technology. Will the State OIT be the state's technical lead on the project, or does PA L & I have it's own IT state who will perform this technical lead function?		L&I's OIT will be technical lead for this project.	
32	1. Would the Commonwealth consider removing the following as a minimum contractor qualifications, Section. IV.3 Requirements, Items(s) #3 and 5. Specific any under item #3 this significantly limits the field of competition within the ITQ category & restricts competition to a very select group of vendors. Under item #5, similar statement. We submit that these selective criteria could provide grounds for a pre-procurement protest. 2. Please remove these criteria as minimum qualifications and consider them as "desirable." Since you are precluding vendor awarded this contract, will sub-contractors also be precluded?		1. No. 2. The selected contractor should meet the minimum qualifications. This does not preclude sub-contractors with lessor experience from working as a sub.	
33	Sorry to advance this question at such a late date…but since KPMG is the awarded audit services provider under 400006811 one could assume that the referenced oversight project UC PMO Services would conflict or compromise the integrity of this procurement? Also, should KPMG have received prior determination regarding their ability to bid this procurement, one could suppose that confidentiality had been breached allowing KPMG pre-bidding insider information and encouraged them to move forward developing a team for responding. Therefore the question is, should KPMG be precluded from bidding on this contract? Sorry to advance this question at such a late date…but since KPMG is the awarded audit services provider under 400006811 one could assume that the referenced oversight project UC PMO Services would conflict or compromise the integrity of this procurement? Also, should KPMG have received prior determination regarding their ability to bid this procurement, one could suppose that confidentiality had been breached allowing KPMG pre-bidding insider information and encouraged them to move forward developing a team for responding. Therefore the question is, should KPMG be precluded from bidding on this contract?		No prospective proposers have been precluded from proposing; the Commonwealth's position is therefore that no prospective proposers should have been precluded from proposing.	

pennsylvania
OFFICE OF ADMINISTRATION

Date:	September 5, 2014
Subject:	UC Benefit Modernization Project Management and IV & V Services
Solicitation Number:	6100029898
Solicitation Due Date:	September 11, 2014
Addendum Number:	6

To All Offerors/Bidders:
The Commonwealth of Pennsylvania defines a solicitation "Addendum" as an addition to or amendment of the original terms, conditions, specification, or instruction of a procurement solicitation (e.g. Invitation for Bids, Request for Quotes and Request for Proposals).

The following changes have been made to the solicitation identified above:

1. The additional eight (8) questions/answers for the UC Benefit Modernization Project Management and IV & V Services have been posted to e-market place. :

a. I would like to know who provides the existing legacy systems to be modernized/replaced?
The legacy systems were developed and implemented by the Commonwealth over several decades. The Department of Labor and Industry's Office of Information Technology continues to maintain and enhance the UC Benefits systems with a combination of commonwealth staff and staff augmentation through the Statewide contract.

b. How old are the systems?
Some of the UC Benefits legacy applications were written in 1960's first generation computer language. Additional programs were added throughout the years to provide service delivery.

c. Is there funding secured for the IV&V Services and if so, through what source?
The Commonwealth anticipates that the majority of the funding will be federal.

d. What source of funding has been/will be secured for the actual modernization/replacement of the legacy systems?
The Commonwealth anticipates that the majority of the funding will be federal.

e. Any idea how much the modernization/replacement will cost?
The Commonwealth cannot estimate cost until the replacement/modernization strategy is developed.

f. When would the state like to modernize/replace the legacy systems?
The Commonwealth cannot determine this until the replacement/modernization strategy is developed.

g. How will the state complete the modernization/replacement of the legacy systems?
The Commonwealth cannot determine this until the replacement/modernization strategy is developed.

h. If not yet determined, can the State advise potential methods of completion?
The Commonwealth cannot determine this until the replacement/modernization strategy is developed.

For Solicitation where a "hard copy" (vs. electronic) response if requested:

- If you already submitted a response to the original solicitation, you may either submit a new response, or return this Addendum with a statement that your original response remains firm, by the due date to the following address:

(Christina Geegee-Dugan), Bureau of IT Procurement
c/o Commonwealth Mail Processing Center
2 Technology Park (rear)
Attn: IT Procurement 506 Finance
Harrisburg PA 17110

Except as amended by this Addendum, the terms, conditions, specification, and instruction of the solicitation and any previous solicitation addenda, remain as originally written.

Very truly yours,

Name: Christina M. Geegee-Dugan
Title: Commodity Specialist
Phone: 717-346-3826
Email: RA-OITPurchases@pa.gov