PROPOSAL FOR

UNEMPLOYMENT COMPENSATION CLAIMS AND BENEFITS INFORMATION SYSTEM DESIGN, DEVELOPMENT,

FOR THE

STATE OF FLORIDA

AGENCY FOR WORKFORCE INNOVATION

Redacted Copy

TECHNICAL RESPONSE (B.7.1)

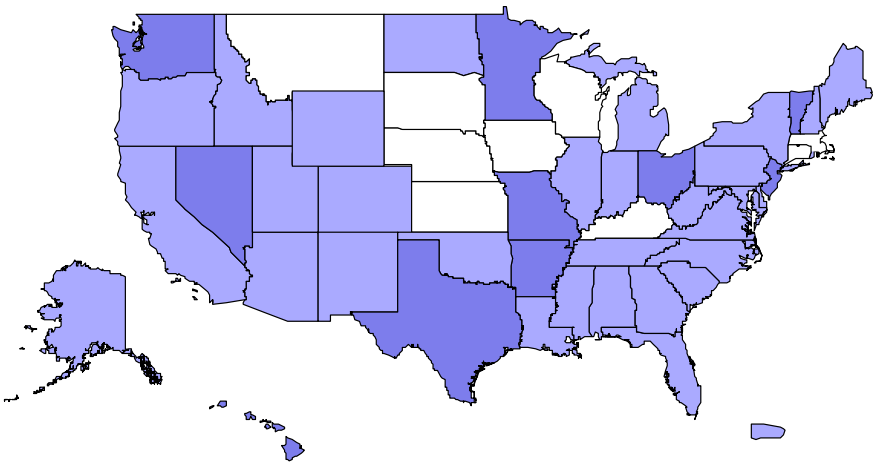
(RESPONSE TO AWI SOLICITATION NO.: **10-ITN-001-SS**)

July 16, 2010

3:00 p.m.

Geographic Solutions

1001 Omaha Circle • Palm Harbor, FL 34683 • (727) 786-7955



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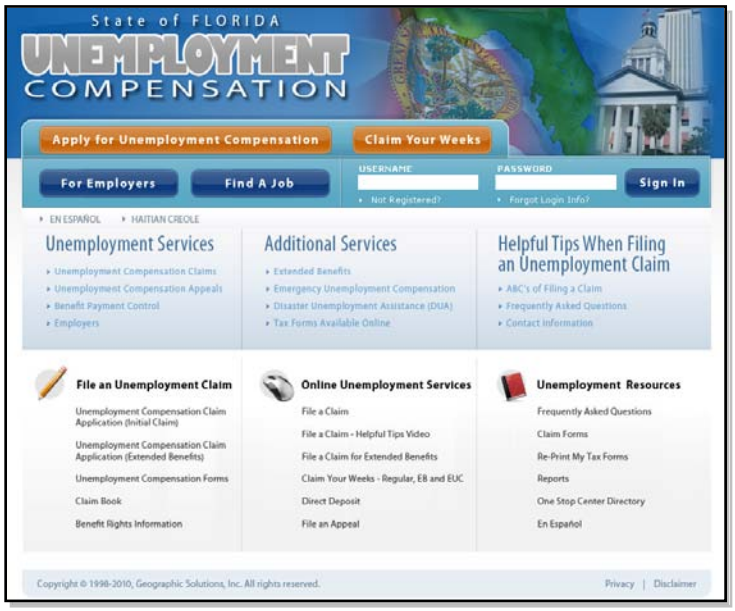
3 Executive Overview

The Florida Agency for Workforce Innovation (AWI) is embarking on a significant re-engineering and modernization effort to replace the State's Unemployment Compensation Claims and Benefits Information System (UCCBIS) with a single, modern, integrated, Web-based information system. This new, leading-edge technology will result in significantly increased claims intake efficiency, allowing staff to focus on activities leading to reemployment of claimants. This furthers AWI's mission of advancing the economic well-being and self sufficiency of all Floridians.

As **a Tampa Bay based company** employing more than 130 Florida citizens, Geographic Solutions® understands the challenges that currently exist in the State's unemployment compensation program. We are in a unique position to partner with the State and implement a modern, Commercial Off-The-Shelf (COTS) unemployment compensation and benefits solution designed specifically to expedite the claims process and focus on reemployment activities for claimants.



Sample GUS Homepage

Our experience managing existing employment-related solutions for the State of Florida uniquely qualifies Geographic Solutions as the only respondent with the ability to deeply integrate the proposed UCCBIS with the Employ Florida Marketplace. This will create a system geared towards reemployment by linking claimants with jobs and employment resources the minute they file a claim.

The Geographic Solutions Team is composed of **three market leaders that are headquartered in Pinellas County**, **Florida**. We are proud to partner with Centurion Inc., to incorporate their *CARES* call center and Interactive Voice Response (IVR) solutions. Centurion provides a "one size fits all" technology solution that provides the flexibility to achieve the goals outlined by AWI. Geographic Solutions has also partnered with iDatix, a leading provider in imaging and office productivity solutions. Their i*Synergy* product is a cutting edge solution that simplifies document management in the workplace by capturing, routing, and processing documents. This partnership of talented, experienced companies with established COTS solutions is the perfect combination to develop an integrated, Web-based information system for AWI.

As the prime vendor, Geographic Solutions is uniquely qualified to assist Florida AWI in this project, as we have a rich history of providing solutions to State Departments of Labor. Our workforce solutions are nationally recognized as being the **most comprehensive, flexible, and cost effective solutions available**. In the State of Florida our technology is used to power the Employ Florida Marketplace, a system that replaced the legacy OSMIS system. Our recent efforts include the development of comprehensive interfaces between our employment solutions and legacy unemployment insurance systems. In addition to Florida, we have completed successful interfaces with UC systems for Indiana, New Mexico, Louisiana, and the District of Columbia. The proposed UCCBIS solution is in many ways an

extension of the existing Employ Florida Marketplace, with similar navigation and ease of use, providing a distinct advantage to AWI in terms of staff training, and a familiar user experience for claimants.

Geographic Solutions is proposing that the new Florida UCCBIS site be constructed using a set of our core proprietary software components known as the Geographic Solutions Unemployment System (GUS). The system will operate as a dynamic portal and operating system for claimants, employers, training providers, and staff supporting the goals of AWI for a solution to its current challenges.

GUS is a **comprehensive solution** for providing unemployment compensation claims and benefits and is ideally suited to providing the functional and technological requirements defined in the ITN, including Claims, Appeals, Benefit Payment Control, and Adjudication. GUS represents the state-of-the-art in Web-based technology, and can be easily modified to meet the requirements set forth by AWI. New or existing Web components can be added to support the requirements defined by AWI, its partners, and businesses interacting with these agencies. We are confident that this leading-edge system provides all the functional requirements outlined by the Florida AWI and will not only meet but exceed these needs.

The GUS solution is not only fully featured but also very **user friendly**. It is a modern web based system designed using the principles of Web 2.0 and user-centered design. GUS optimizes the user interface around how staff and customers need to work, rather than forcing them to change how they work to accommodate the software developers' approach. The GUS solution will provide customers access to the same style user interface that many of them have become familiar with on sites such as Facebook and MySpace.

GUS will be hosted at the State of Florida's Southwood Shared Resource Center (SSRC) and will be accessible in the numerous AWI offices and centers, and OneStop office locations and resource rooms, as well as throughout Florida or from **anywhere via the Internet.** The system requires only that client workstations have an Internet/Intranet connection and a Web browser. All of the claimant and employer self-service features, as well as all of the staff-assisted features and case management functions, will be available through the Internet.

This is what makes GUS unique:

It is a Robust Commercial-off-the-Shelf Solution for Unemployment Compensation – GUS is a sub-system of the industry-leading Virtual OneStop Software Component Library and is a COTS software solution that is easily implemented in a short timeline. This system is built on existing, proven technology currently used by states across the country. Building the UCCBIS from GUS components offers significant advantages over building a "ground-up" solution or attempting to adapt another state's solution. System deployment is rapid because the components are pre-built; risks are mitigated because the components have already been developed and tested; and the components are modular and easily added to or modified. With GUS, Geographic Solutions brings the same robust quality solution to unemployment compensation claims and benefits systems as we have for comprehensive OneStop operating systems nationwide.

It is a Solution Designed for Florida by Floridians – GUS also has the distinct advantage of being originally designed and developed based on the requirements of the State of Florida. Since the release of the original AWI Feasibility Study for Unemployment Compensation Modernization, Geographic Solutions has dedicated a team of business analysts, subject matter experts, and developers to insure that GUS meets the exact requirements and goals of the State for this project. GUS is the only system that currently meets and even exceeds the vision of AWI and its partners for the new UCCBIS.

It is Fully Automated – It is clear that the current UC system requires staff to spend too much time on activities that could be automated. The GUS solution is designed to maximize automation

based on modern technology and communications tools. The result of replacing outdated and inefficient technology, in combination with improvements in the UC business processes that GUS promotes, results in improved system efficiency as well as the overall performance of the Agency. The tangible benefits of improved efficiency are significant operating cost savings and reduced UC Trust Fund disbursements.

Low Risk – A New Model for Unemployment Compensation – The recent history of the modernization of UC Benefit Systems is characterized by very expensive custom built solutions that have either underperformed or simply failed. Geographic Solutions recognizes this and is proposing to remove this risk in this project by providing an existing product based on proven technology. We are also waiving any payment for the GUS software itself until it is installed and running. To further reduce the risk and reduce the cost we are proposing to fully deploy the completed system, including IVR, by July 1st, 2012.

It is the Nation's First Integrated Unemployment Solution – For the period of July 2008-June 2009, the *Unemployment Insurance Opportunity Report* from the American Institute for Full Employment ranked the State of Florida 38th in claim duration and 53rd in Exhaustion Rate out of 53 states and territories. If during that time Florida matched the 10 best states in the country, the State could have added 47,000 jobs to the economy and saved $586.3 million in Unemployment Insurance trust funds.

A tool that can dramatically improve both of these critical measures is Geographic Solutions' proposed UCCBIS solution, which integrates the current Employ Florida Marketplace job portal with our GUS UI Benefits COTS solution. These systems will directly access the same database and the new GUS technology will include functionality for employers, jobseekers, and staff currently provided by Employ Florida Marketplace. For example, once an individual files a new or continuing claim, they will be immediately presented with a list of current job openings in their area that matches their background and experience.

This solution will have significant advantages for the overall efficiency of the Florida workforce system. These benefits will include faster re-employment of claimants; improved capability for staff in the State's one-stops to assist claimants; improved capability for staff to verify a claimant's job search; reduction in duplicate data entry; an integrated Trade Act system; improved case management; and the benefit of one comprehensive portal for the State's employers for unemployment compensation and workforce. The results of these benefits will be significant operating cost savings and reduced trust fund disbursements.

In summary, Geographic Solutions is proposing not just to modernize the unemployment compensation system in Florida but to revolutionize it. We will make the new Florida UCCBIS the first of a new generation of systems that will dramatically improve the way unemployment compensation and benefit services are provided in the United States.

The Geographic Solutions Team cares about the future of the State of Florida; this is where we live and work. We would like to partner with AWI for the long term. We want to improve the unemployment compensation system in our State and work with AWI to ensure that our reemployment services are the finest in the country and that the financial security of Florida's trust fund is assured.

We are confident that a review of our proposal will demonstrate an intimate understanding of the needs of the Florida AWI. Our unparalleled experience providing employment-related solutions for the State of Florida, our rich history implementing integrated workforce systems, our successful track record providing reemployment solutions, our superior technical support, and our strong partnership with Centurion, Inc. and iDatix, make Geographic Solutions the perfect partner for AWI: a partnership with experience working together to implement a modern UC benefits system on time and on budget.

4 Project Approach and Methodology

4.1 Approach

Requirement: ***Tab 4.1:*** *Describe the overall approach for accomplishing the tasks described in Section D, Exhibit 1 (SOW).*

The Geographic Solutions Unemployment System (GUS) is a Commercial Off The Shelf (COTS) solution for the Agency for Workforce Innovation's Unemployment Compensation Claims and Benefits Information System (UCCBIS) that provides a unified application for processing unemployment insurance (UI) claims and benefits. Driven by the need to improve the way that UI benefits are delivered and to meet the expectations of the citizens of the state of Florida, GUS offers exemplary customer-centric service delivery, with efficient streamlined business processes supported by flexible, state-of-the-art Web-based technology, and enhanced collaboration of UI and workforce entities into one, comprehensive system.

The proposed solution will provide an environment where policies and procedures are in place to govern and support the management and reporting of accurate, reliable, timely, and consistent UI Claims and Benefits data across the Agency's UCCBIS. Accurate and up-to-date information is crucial for claimants and staff decision makers to not only maintain existing operations but to plan for future strategic opportunities. By providing an aggregate view of data and simplifying access to current, consolidated information, Agency UC personnel will be better positioned to make decisions on all levels.

Geographic Solutions' project management approach utilizes industry best practices, as identified and supported by both the Project Management Institute (PMI) and the International Standards Organization (ISO), among others. We leverage the strengths of these best practices to drive a collaborative and winning project management methodology with a proven track-record. These practices give our project managers a high degree of project control, enabling them to deliver projects on time, on budget, and on scope.

Following a detailed review of the Agency requirements for a UCCBIS solution, Geographic Solutions recommends a two-phase delivery approach to ensure that the required functionality is delivered by the stipulated fiscal date milestones:

- ***Phase I***: The new Unemployment Claims and Benefits Internet portal that replaces the Florida Unemployment Internet Direct and the Florida Continued Claims Internet Directory systems shall be deployed to full production operational status no later than the end of fiscal year 2010-2011.
- ***Phase II:*** The new Call Center Interactive Voice Response System, the new Benefit Overpayment Screening System, the new Internet and Intranet Appeals System, and the new Claims and Benefits System shall be deployed to full production operational status no later than the end of fiscal year 2011-2012.

The Geographic Solutions' Project Management Office (PMO) provides total project governance on all project efforts, empowering our team with advice, training, methods, standards, and tools to ensure successful project delivery. Our PMO assists in planning and executing the steps of the entire project process: project plans/work breakdown structures and project control documentation are all reviewed and held to strict quality tollgates. At an administrative level, our PMO assists in the administration of project-specific data, such as schedule and resource management, risk management, project communication and status reporting, and project metrics.

In summary, the mission of our PMO is to monitor and enforce a project approach and methodology that ensures strong leadership for the success and continued improvement of Project Management throughout the enterprise.

4.1.a GRID Project Methodology

Geographic Solutions is proposing a project management approach to the Florida UC Modernization Project that blends the essential ingredients for low risk, cost effective, and successful delivery of a usable, maintainable, extensible, and reliable solution. We have developed and refined a special project methodology that targets overcoming the unique challenges of achieving a successful implementation of a complex system in the state government arena. The methodology also accounts for the fact that the business process is one that involves customizing an off-the-shelf product rather than building one from scratch. Our project methodology is called GRID (Geographic Solutions Rapid Integrated Development).

GRID was developed over several years of successful project delivery, incorporating the most robust elements of Project Management and Software Development Life Cycle (SDLC) approaches from the Software Engineering Institute's (SEI) Capability Maturity Model Integration (CMMI), IBM's Rational Unified Process (RUP), the International Standards Organization (ISO), IEEE, and Microsoft's Agile model (as implemented through Team Foundation Studio). The GRID methodology is an adaptable process framework and project management methodology that enables our project management and software development teams to select the elements of the delivery process that are appropriate to their needs, and adapt them for quick implementation based on the requirements of the specific project. The GRID methodology covers the project management activities for all the phases of a project necessary for rapid integrated development, change control, and deployment.

There are four primary phases in the GRID Project Methodology: Inception, Elaboration, Construction, and Transition. Within those four primary phases are multiple sub-phases that define in greater detail the activities that constitute our overall methodological schema.

4.1.a.i Inception Phase

The Inception phase involves the initial review of project scope and requirements, and the preliminary analysis required to prepare a Contract/Statement of Work. This phase further includes contract negotiations and also establishes any necessary baselines by which to compare actual expenditures versus planned expenditures. In this phase, we work closely with the Agency to develop the final scope and statement of work to be executed in the following phases.

- **Key Deliverable**: Signed Contract/Statement of Work

4.1.a.ii Elaboration Phase

The Elaboration phase is where the project starts to take shape. In this phase, requirements are defined and analyzed, detailed project planning and resource allocation occur, and the project architecture and design are articulated in preparation for construction.

Secondary phases within the Elaboration Phase include the following:

Project Planning

The key to our success in implementing systems at Geographic Solutions is the knowledge and acumen of our project management and business analyst staff that allows effective project planning. Their expertise in specific applications allows them to plan and collaborate effectively with stakeholders of the Agency to achieve the desired solution.

Geographic Solutions conducts project management planning using the IEEE Standard for Software Project Management Plans (IEEE Std. 1058-1998). At the inception of the Project Planning stage, the project management team will create a set of initial project planning documents that define the following:

- Project resources
- Process and communications
- Deliverables
- Software requirements
- Data requirements

- Security and administration requirements
- Data conversion requirements
- Interface requirements
- Systems requirements
- Training requirements
- Support and maintenance requirements
- List of required documents
- List of service tracking requirements
- Reporting requirements
- Configuration requirements
- Transition requirements (Pilot Plan)
- Initial project schedule

These initial project planning documents will be reviewed at the Project Kickoff meeting. The Geographic Solutions' Project Manager and key Agency staff will attend the meeting. At this meeting, the Agency will be provided with a detailed presentation of the planning documentation for the proposed Florida UCCBIS.

During the Project Planning stage, Geographic Solutions will develop a detailed project plan and schedule with a specific work breakdown structure. Please refer to the Proposed Project Schedule Details (included as a Microsoft Project Plan at the end of 4.4, per ITN requirement for that sub-section).

Geographic Solutions will provide a Project Management Institute certified (PMP) project manager for the UC Modernization Project who will serve as the primary point of contact for the Agency. The project manager will be responsible for updating, maintaining, and communicating the UC Modernization Project Management Plans throughout the project life cycle. Any and all changes requested to the approved plan over the course of the project must be approved by the appropriate Agency personnel.

Requirements Analysis Stage

Geographic Solutions recognizes that thorough requirements management is a critical component of effective project management. The success of the UC Modernization Project will depend on the thoroughness of the requirements and the strictly-managed execution of those requirements throughout the life of the project. The GRID methodology incorporates a well-defined and proven project management methodology to accomplish this task.

The identification of requirements starts with the contract baseline and flows to the final approved specifications. This flow proceeds continuously throughout the project life cycle through multiple iterations of requirements and specifications as necessary.

The project team will begin the requirements analysis following the onsite project kickoff meeting. Requirements will further be determined and refined from the initial source and project planning documents. The Agency's requirements will be identified and categorized into the following groups:

- **Software** – A detailed list of required UC Modernization Project components coupled with any necessary additional functionality
- **Data** – Any data that needs to be referenced by the system
- **Interface** – A list of interfaces to be created, including any uploads to legacy systems
- **Conversion** – Any programs that need to be developed to import or output data in a different format, if applicable
- **System** – Any issues with the network and hardware infrastructure
- **Security** – User privileges and SSL requirements
- **Reporting** – An outline of the reports that will be required in the system
- **Training** – A listing of the training that will be required to implement the system
- **Support and Maintenance** – An outline of any support and maintenance that will be required after implementation

- **Configuration** – An outline of basic system business rules and options

Geographic Solutions' UC Modernization Project system project team will finally capture and verify the Agency's system requirements and develop a Requirements Definition document. The Agency will review and approve the identified requirements in that document, and official sign-off is required prior to moving forward to further project stages.

Base System Configuration

A unique aspect of the GRID methodology is that prior to performing the full analysis and design, Geographic Solutions takes the known project requirements and creates a base system configured to meet these requirements. The information gathered during the Requirements Analysis stage is used to select the appropriate components from the UC Modernization Project Component Library, and configure a system to meet the Agency's needs. This includes elements such as the required look and feel and specific business rules and system settings.

The proposed UC Modernization Project base system that is developed will form the baseline for the onsite Joint Analysis and Design meeting. It has been Geographic Solutions' experience that joint systems design and analysis is more rapid and effective when staff can review a live Web site rather than simply reviewing designs and specifications on paper.

Analysis and Design Stage

The Analysis and Design stage provides the process for mapping from the project vision to the construction and deployment of the UCCBIS. This stage will be led by the Geographic Solutions' Business Analyst Team, guided and supported by the Project Management Team.

The foundation of the analysis and design is an onsite Joint Application and Design meeting that includes Geographic Solutions' experienced professionals and representatives of the Agency, along with Stakeholders and partners that will utilize the new system. The meeting will include a detailed step-by-step review of the system architecture, data structure, interfaces, Web page screen designs, and program specifications. This includes validation of business rules that are required, default values, source of information, and how the information will be transferred to the system.

As part of the analysis, the scope, risks, critical success factors, goals, and objectives of each required item from the specifications of the system are reviewed. Specifically the analysis will:

- Identify and document each system definition decision
- Establish the theme to follow on the pages throughout the system; document each page and modification required for that page
- List system links and define where they are used within the system
- Complete a detailed project schedule; the schedule will identify all tasks required to complete the project, include a time estimate for task completion, and list the required staff resources

The result of the Joint Application and Design is a final specification package that will include documentation outlining the system architecture, data structure, interfaces, Web page screen designs, and program specifications. Geographic Solutions uses the IEEE recommended practice for Software Design Descriptions (IEEE Std. 1016-1998). The specifications provide the foundation for demonstrating that the system satisfies all allocated requirements.

- **Key Deliverable**: Approved Requirements Definition Document
- **Key Deliverable**: Approved System Design Document

4.1.a.iii Construction Phase

In this phase, the main focus goes to the development of components and features of the system being designed. This is the phase where the bulk of the coding to develop customizations and requirements defined for the system takes place. Several construction iterations may be developed in an effort to divide modules into manageable segments that produce demonstrable prototypes which can be constructed and tested while others are developed.

This phase produces the first external release of the software for the beginning of User Acceptance Testing.

Application Development Stage

The Application Development stage begins after the approval of the Requirements Definition document system specification from the Agency approved phase gate review. Specifications are then translated into software code by the Development Team. The Development Team will modify existing components in the UC Modernization Project software suite, and add new required functionality. Upon completion, units of code are tested individually against allocated design requirements, and in successively larger aggregates until software components have been completely tested.

Geographic Solutions uses industry-recognized development coding standards to ensure stability and maintainability of all the code that will be associated with the Florida UCCBIS. Such standards include:

- Header blocks explaining the use, input and output variables, and dependencies for all pages, script blocks, functions, and methods. These blocks also contain revision histories
- Comment blocks to explain how units of code function
- Naming conventions such as prefixed variable names to indicate the data type expected, meaningful variable, function, and object names to better indicate their function
- Indenting and using white space to make application code easier to read and interpret

Geographic Solutions also uses Microsoft's Team Foundation Studio, which provides all teams with technical information about the UCCBIS application code. This allows for much more effective impact analyses, regression testing, and architecture control.

- **Key Deliverable**: New or updated UC Modernization Project software code
- **Key Deliverable**: New or updated UC Modernization Project database structure

Testing and Quality Assurance

Under the GRID methodology, there are multiple levels of testing that take place at many points within the project life cycle. These tests involve the testing of the software against the specifications to determine that it conforms to the stated requirements. In total, the GRID methodology incorporates five distinct test phases as follows:

Geographic Solutions Testing Plan Flowchart

Unit Testing

Geographic Solutions' unit testing involves the testing and removal of defects in an individual software unit. Unit testing takes place on a volume of code that is small and defined. A component of the software unit passes unit testing when the actual test results match expected test results within criteria specified by the project. Unit testing is the responsibility of the development team, who records the test results in the Geographic Solutions' Online Project Communications (OPC) system.

Integration Testing

After unit testing, software integration testing is carried out in which progressively larger groups of software components are integrated and tested until the software works as a whole. Integration testing is performed to test that each new or modified software unit works together with the other software components, as prescribed.

Integration testing takes place in an environment that emulates the target production environment. In the GRID process, integration testing is an extension of unit testing. Unit and integration testing concludes when actual test results match expected test results within criteria specified by the project. The development team performs Integration Testing and is responsible for verifying that each tested software configuration item is ready for software system testing. The results of the integration testing are recorded in the OPC system.

System and Regression Testing

The Geographic Solutions Quality Assurance Team will perform system and regression testing to ensure each new component of the new UCCBIS meets its objectives and requirements and that all component units work together properly as a whole to meet all Agency requirements. System testing verifies the functionality of the entire system to ensure that the system reflects all the specifications finalized during the Elaboration phase.

Before the system testing begins, test scripts are created that contain formal scenarios written for each function. These scenarios show individual steps required to complete the function as well as inputs, outputs, and expected results.

Regression testing will be applied to all incremental releases of the UCCBIS beyond the initial release to verify that previous functionality and performance has not been degraded when the system is enhanced with a subsequent release of functionality. The scope of the regression test is established by examining the scope of the new release and testing points of its impact on the prior functionality.

Before any modified software is tested, the current production software will be run against this test data using the test scenarios. The results will be recorded. The database will be restored and the modified software will be run against the same test data. The outputs from the modified software will be compared to the outputs from the production software. Any differences will be investigated and resolved. If coding changes are required to the new software, the changes will be logged in the OPC system and the software will be sent from Quality Assurance back to the programmer for resolution, where unit and integration testing will be performed again.

Performance / Benchmark Testing

The Geographic Solutions Quality Assurance Team will perform Performance/Benchmark testing to ensure each that all components of the UC Modernization Project system meet the Agency's performance and benchmark requirements.

Performance/Benchmark testing identifies specific performance requirements and verifies that the functions of the system can be performed within the benchmark specifications designated by the Agency as defined during the Elaboration phase.

Before the Performance/Benchmark testing begins, test scripts and scenarios are created for each function critical to performance. These scenarios show individual steps required to complete the function, as well as inputs, outputs, anticipated user load and response time.

The actual performance measures for the proposed UCCBIS will be negotiated with Agency staff. These performance goals will be required to be met within given system parameters outlined by the Agency.

Data Conversion Testing

Data conversion testing involves the validation of the information that has been converted from legacy systems into the UCCBIS. Our analysts and data specialists have years of legacy data conversion, data integration, and data testing experience with workforce development and unemployment compensation systems. Several state customers currently have integration with data sources and applications located on mainframes, AS/400 computers, and other disparate operating systems. We have also provided integration services involving data that must be transported from other locations via FTP.

Our skilled team members will work closely with the Agency staff to review data conversion and integration requirements, and to validate post-conversion data.

User Acceptance Testing

Upon concurrence of the Geographic Solutions Project Manager and the appointed Agency representative for testing that the system has been fully assured for quality and performance, the Agency will be notified that the UCCBIS is ready for User Acceptance Testing (UAT).

The Agency leads this phase and conducts user acceptance testing, with the support of the Geographic Solutions Project Team. A team of knowledgeable Agency staff will review the UCCBIS in detail to determine that functionality meets requirements and the product adheres to specifications. The system specification document will be used to verify that the system functionality is correct and that the system can be judged as acceptable.

A fixed period of time agreed upon by both parties will be allocated for User Acceptance Testing. During this period of time, any problems with the product will be addressed and corrected or modified to meet the requirements and specifications.

User Acceptance Testing is conducted on a dedicated test server with test data that functions according to program specifications. This test database will remain active throughout the entire project life cycle, including post deployment. Geographic Solutions utilizes this UAT data for testing and training purposes. A dedicated training environment may be created; however, as mutually decided upon by Geographic Solutions and the Agency Project Coordinator.

Automated Testing

Geographic Solutions uses MicroFocus TestPartner to support its testing activities. This tool allows the Quality Assurance (QA) Team to efficiently and effectively automate the regression, functional and configuration testing of many elements in our system, resulting in timely identification of data, code, or business rule issues.

IBM Rational Performance Tester and MicroFocus TestPartner enable the QA Team to uncover more defects by extending their test scripts with conditional logic to cover more of our system, and to define test cases to call external executables. Test cases for common objects – such as code-driven functionality, databases, menus, lists, properties and data fields – can be run under varying conditions with the click of a mouse.

Test scripts are written by QA staff to analyze a specific path through the system. These test paths encompass a wide range of routes through the system, with unique user characteristics and data selections available for selection in several different iterations.

MicroFocus TestPartner flags any inconsistencies it finds during testing, and these exceptions are reviewed and analyzed by the QA team. Test scripts are run as needed to monitor the integrity of the system.

Geographic Solutions uses MicroFocus TestPartner to improve the speed and effectiveness of the overall testing effort. The application increases efficiency of the testing effort by automating tedious tasks, such as collating the results of automated and manual tests into one report. The tool allows the QA staff to keep track of all the required functionality in the application, ensuring that no critical business requirements go untested.

- **Key Deliverable**: Approved Internal (Unit – Performance) Testing
- **Key Deliverable**: Approved User Acceptance Testing

4.1.a.iv Transition Phase

In the Transition phase, the product moves fully from Geographic Solutions to the Agency. The activities of this phase include training of the end users, documentation to support the end users and system maintainers, and the installation and final acceptance testing of the system to validate it against the Agency's expectations and to test the installed product in the final production environment with all functionality and any applicable converted legacy data.

The GRID methodology provides a formal, yet flexible approach to formulating, implementing, and maintaining information systems, and has the following advantages:

- The methodology is flexible and modular, divided into phases and stages, which can be modified, included, or excluded depending on client requirements
- The methodology is scalable and equally applicable to any size project, from our smallest customers to our largest
- The methodology is comprehensive; it includes all possible items that could be required for a successful implementation

With the GRID methodology, Geographic Solutions brings a disciplined approach to project management and project success.

A summary of the entire GRID methodology process and its constitutive phases are represented in the following workflow graphic:

GRID Project Methodology Flow

4.2 Project Management

Requirement: ***4.2 (line 1):*** *Describe the proposed project management approach and methodology for managing the UC System project.*

Within the GRID project lifecycle framework, the Geographic Solutions project management approach adheres to the Project Management Institute's (PMI) internationally recognized project management methodology as described in Project Management Body of Knowledge, or PMBOK® Guide. While the PMBOK informs the overarching project management approach, Geographic Solutions project management also ensures that our processes comply with significant ISO, IEE and CMMI standards (cited within this document when appropriate). The PMBOK approach is a proven and mature industry standard for project management and has been a critical success factor in successful project delivery over our 16-year history.

The project management activities defined by the PMBOK fall into nine Knowledge Areas that carry through various project phases (GRID's phases map easily to the phases of the PMBOK). Those knowledge areas are represented in the following table:

PMBOK and GRID Phase Knowledge Areas

These knowledge areas provide organization to a series of specific project management practices, processes, and tools to ensure successful project delivery. The following section elaborates these practices, processes and tools in accordance with Section D, Exhibit 1, Section 7.1.

4.2.a Project Management Plan [SOW 7.1.1.1]

Requirement: SOW: *Develop and maintain the Project Management Plan (PMP) as defined in Section 8.1 Planning. [Page 55]*

The Project Management Plan for the UC Modernization Project defines how the project will be planned, executed, controlled, and closed. The plan outlines in detail the activities of the project team. The plan includes inputs from the project team and Agency stakeholders and is managed by the Geographic

Solutions Project Manager, and any updates to the plan are vetted at the Executive Steering Committee meetings to assess project impact. The Project Management Plan is developed and maintained as defined in Section 8.1 Planning.

Refer to Section 4.4 of this document for the detailed approach to developing and maintaining the Project Management Plan.

4.2.b Staff Management [SOW 7.1.1.2]

Requirement: SOW: *Manage and direct Contractor Staff to execute the Project Management Plan and develop project deliverables.*

The Geographic Solutions Project Manager will manage and direct the Project Staff to execute the Project Management Plan and develop project deliverables. Staff Management activities include tracking team member performance, providing feedback, resolving issues, and coordinating project changes.

There are several potential outcomes of managing and directing the staff process:

- **Requested Changes** may be initiated by the outcome of resource evaluation and control, which can result in a change request concerning the scope baseline, schedule baseline, or skill-set needed to accomplish a particular project task.
- **Recommended Corrective Actions** may be initiated by the outcome of resource evaluation and control, which can result in a change to the project team.
- **Recommended Preventive Actions** may be initiated by the results of resource evaluation and control, which may suggest an improvement of the skills and the behavior of team members in order to minimize project risk.

4.2.c Schedule Management [SOW 7.1.1.3]

Requirement: SOW: *Manage the project in accordance with the project schedule.*

The Geographic Solutions Project Manager will manage project timelines and work plans, initiate, track, and coordinate multiple strands of activity to ensure that the UC Modernization Project is progressing on time, on budget, and on scope.

The Project Manager will produce the project schedule and the budgeted costs, and regularly monitor and report on progress. Relevant “Key Performance Indicators” (KPIs) are used in the project monitoring process to provide concrete metrics as to project performance to plan.

4.2.d Plan Revisions [SOW 7.1.1.4]

Requirement: SOW: *Revise the Project Management Plan, project schedule, and all other project management materials as authorized through the change control process.*

The Geographic Solutions Project Manager is responsible for revising the Project Management Plan, project schedule, and all other project management materials as authorized through the change control process. Our experience shows that timely and clear communication is key to effective revision and scope control. It is critical to project success that all project changes are managed and resolved as quickly as possible.

Geographic Solutions uses a strict change control process to ensure that the impact of any proposed change to the project definition, or specific components of the project (such as hardware or software deliverables, or a business process associated with a service) are thoroughly understood, carefully considered, and formally approved.

The goals of our change control process are:

- Change activities are planned
- Changes are identified, defined, evaluated, approved, and tracked through completion
- Project management plans are updated to reflect the requested changes
- Changes are negotiated and communicated to all stakeholders

Authorized Agency stakeholders for the UC Modernization Project can submit the following types of change requests to the change control process:

- Requests for requirements changes (additions, deletions, modifications, deferrals) in software currently under development
- Reports of problems (incidents) in current production or beta test systems
- Requests for enhancements in current production systems

This change control process applies to base-lined work products created or managed by the members of the UC Modernization Project, including:

- Software that has been released to production or is in beta testing
- Requirements specifications
- Project Management Plans
- User and technical documentation

All change and enhancement requests are tracked through our Online Project Communications (OPC) system. This OPC mechanism will be used to monitor all services and issues related to the UC Modernization Project, including change and incident management processes.

The determinations made by the Change Control Board and Executive Steering Committee are documented in the OPC system and include a thorough analysis of the Change Order as it impacts the project plan, scope, schedule, work products, project requirements plan, and other important factors. This process will ensure that efforts are continually focused on the most critical business processes throughout the life of the project.

The following diagram summarizes the typical flow for requested changes:

4.2.e Administrative Templates [SOW 7.1.1.5]

Requirement: SOW: *At the direction of the Agency, develop project management administrative templates for use throughout the project.*

The GRID methodology and project management approach demand the consistent and clear dissemination of information for administering the project activities. To that end, the Geographic Solutions Project Management Team has developed administrative templates to facilitate the management and dissemination of coherent project information for all aspects of the project.

These Administrative Templates are developed within the Microsoft Office platform, using Microsoft Word and Excel - industry standards for the content creation and management of word and numeric-based documentation. These templates are highly exchangeable, easily attached to emails and to records within the OPC system.

4.2.f Status Reporting [SOW 7.1.1.6]

Requirement: SOW: *Prepare and submit weekly project status reports.*

The Geographic Solutions Project Manager will prepare and submit weekly project status reports. The Project Manager will establish and effect communication on project-related information, manage, maintain, and enable effective communication across internal and external project staff to evaluate, problem-solve, and improve communication flow across the project.

Geographic Solutions will be responsible for preparing weekly project status reports for all phases of the UC Modernization Project. This will include, but not be limited to, preparing agendas, presentation information, and meeting minutes for all standard project meetings and formal presentations; updated work plans, and other related deliverables. Geographic Solutions uses a standard format and layout for status reports, which will be presented to the Agency for approval/agreement. As occasions warrant, status reports may be created and submitted on a more active basis than weekly. The same preparation and attention to detail will be provided for these reports.

The Project Manager is responsible for formally delivering status reports to all internal and external stakeholders for the all regularly scheduled meetings. Informal status will be on an ongoing basis (minimum on a weekly basis) at the regularly scheduled team meetings. The outline of the formal status meetings will include a Status Summary, a review of problems resolved since the last report, a review of accomplishments since the last report, any new problems or concerns, as well as the planned activities for the next period.

4.2.g Project Status Meetings [SOW 7.1.1.7]

Requirement: SOW: *Participate in weekly project status meetings.*

The Geographic Solutions Project Manager will lead weekly project status meetings. Prior to each Project Status Meeting, the Project Manager will prepare and distribute a UC Modernization Project meeting agenda and status report. The Project Manager may also plan, organize and facilitate project meetings outside the scheduled weekly meeting as needed, solicit agenda items from the project members, organize productive conversations, communicate decisions to necessary parties and follow up on action items. All meeting outcomes will be documented in meeting minutes distributed via email and posted on a project SharePoint site.

4.2.h Executive Steering Committee Meetings [SOW 7.1.1.8]

Requirement: SOW: *Participate in Executive Steering Committee meetings.*

The Geographic Solutions Project Manager shall participate in Executive Steering Committee meetings to review all critical matters pertinent to project strategy and progress. The members of the Executive Steering Committee will be appointed by agreement in the project planning process of the Elaboration phase. Approval for all project change requests will be vetted by the Executive Steering Committee for approval or denial.

4.2.i Meeting Communications [SOW 7.1.1.9]

Requirement: SOW: *Prepare and distribute the minutes of all meetings led by the Contractor.*

The Geographic Solutions Project Manager will prepare and distribute all internal UC Modernization Project meeting minutes. A standard format will be used for all minutes to include the date, time, meeting

title, meeting facilitator, attendees, agenda topics, discussion and conclusion meeting notes, and action items, action item responsibility, and action item deadlines.

4.2.j Additional Project-Related Meetings [SOW 7.1.1.10]

Requirement: SOW: *Facilitate project-related meetings as necessary to fulfill responsibilities as specified in this ITN.*

The Geographic Solutions Project Manager will manage, maintain, and enable effective communication across internal and external project staff by facilitating project-related meetings as necessary to fulfill the responsibilities as specified by the Agency. This includes establishing and reinforcing predictable communication routines, coordinating meetings, online communication, phone calls and video conferences, maintaining knowledge management systems, and evaluating and improving communication flow across the project. All additional project-related meetings will adhere to the same requirements as formal, standing project meetings.

4.2.k Project Assessments [SOW 7.1.1.11]

Requirement: SOW: *Identify risks, issues, and opportunities and participate in risk and issue meetings.*

The Geographic Solutions Project Manager is responsible for identifying risks, issues, and opportunities, and for organizing and participating in project risk and issue meetings. The Project Manager will define and document how risks will be managed, mitigated, or eliminated. These assessments will be part of regular status reviews, but may require ad hoc meetings to assess urgent matters outside the timetable of regularly scheduled meetings to prevent the occurrence of issues that could have a major impact on project delivery.

The primary objective of our structured process for issue resolution and opportunity engagement is to establish a standard method to identify all elements impacting the project, and guide action toward the most advantageous ends, with respect to delivering the desired solution. Our proposed assessment approach provides a formalized venue for addressing the evaluation of risks, issues, and opportunities over the life of the project.

4.2.l Scope Management [SOW 7.1.1.12]

Requirement: SOW: *Identify any scope issues and participate in scope management meetings.*

The Geographic Solutions project management methodology demands that the Project Manager will identify any scope changes or threats to existing defined scope, and present those items for review to the project team (for effort estimates) and ultimately to the Executive Steering Committee for full vetting and approval/denial.

The Project Manager will document all items which presume a project scope change, prepare detailed evaluation materials for Agency acceptance, and manage any and all requests to change either the scope or requirements of the project.

In the case where scope issues require changes to the original project scope, the Project Manager will follow the Scope Change Control plan and perform the following steps:

- Project Change Request form
- Scope Change analysis
- Scope Change approval
- Update Project Scope Statement and projects plans

- Communicate Changes to Scope
- Incorporate Approved Scope Changes to baseline
- Update and Communicate Approved Scope Statement and WBS
- Register Lessons Learned

4.2.m Standards [SOW 7.1.1.13]

Requirement: SOW: *Ensure adherence to the project management standards and guidelines as established in cooperation with the Agency.*

The Geographic Solutions Project Management approach strictly adheres to the standards developed by the Project Management Institute (PMI), as articulated in the Project Management Body of Knowledge (PMBOK®). Within the PMI methodological framework, Geographic Solutions adheres to the International Standards Organization's (ISO) standards for Quality Management (ISO 10006-2003) and Project Management (ISO/CD 21500). Keeping these standards is also concomitant with keeping the following IEEE standards for Project Management: IEEE 1490-2003 and IEEE 1058-1998 (see Section 4.2.20 below).

Further, Geographic Solutions Project Management approach ensures that all application development complies with the standards set by the Americans with Disabilities Act (ADA).

4.2.n Deliverables [SOW 7.1.1.14]

Requirement: SOW: *Ensure deliverables conform to Agency standards provided in Section 10.*

The Geographic Solutions Project Manager will ensure that the deliverables conform to Agency standards provided in Section 10. Accessibility standards provided in the Florida Administrative Code Rule 60-8.002 are currently in place for the proposed solution and will be verified.

Geographic Solutions will compile a Deliverable Expectation Document (DED) which will be subject to approval by the Agency. The DED will include the contents, scope, quality standards, quality assurance measures, approval process, approval criteria, and the reviewers. Each deliverable will be approved by the Agency prior to commencement of the work of the deliverable during the Elaboration project phase. Each deliverable will be reviewed, tested, and approved by the Agency prior to production implementation.

Deliverable Submission: All deliverables and project artifacts will be provided on a mutually-agreed upon format currently supported by the Agency. Geographic Solutions standards align with the Agency using Microsoft Office Suite 2007, Microsoft Project 2007, Adobe Acrobat 8.0/9.0, and Visio 2007.

Deliverable Review: All deliverables identified in the contract/Statement of Work will be delivered by Geographic Solutions for approval by the Agency. All deliverables will be subject to a quality assurance review prior to submission to the Agency. This review will be conducted by a Geographic Solutions staff member who was not involved in the production of the deliverable. Software and software configuration deliverables will be unit tested, system integration tested, and user acceptance tested prior to submission to the Agency for approval.

Deliverable Distribution: Deliverables shall be distributed as defined in the ITN, Section 10.1.3 to the Agency's UC Contract Manager, the Agency's Project Director, and to the IV&V Contractor.

Deliverable Consistency and Maintenance: Deliverables shall be consistent and maintained as defined in the ITN, Section 10 with versioning and approvals.

Deliverable Quality Assurance: Quality assurance measures will be conducted throughout the entirety of the project and will adhere to quality assurance standards for each deliverable in accordance with the Agency UC quality management plan.

General Deliverable Preparation Instructions: The instructions for deliverable preparation shall be followed in accordance with Section 10.3 to include formatting, file size, copies, storage location, identification/revision numbers, reviewer friendly, and in accordance with the Agency's approved documentation standards.

4.2.o Communications [SOW 7.1.1.15]

Requirement: SOW: *Establish communication procedures with input of all project participants and stakeholders.*

The Geographic Solutions Project Manager will establish communications procedures with input of all project participants and Agency stakeholders. The Project Manager will manage, maintain, and enable effective communication across internal and external project staff and establish and reinforce predictable communication routines. Meetings, online communication, phone calls and video conferences will be coordinated by the Project Manager, as established in the Elaboration phase with the agreement of all participants and stakeholders. As part of the communication plan, the Project Manager will update knowledge management systems with all pertinent project information.

4.2.p Reports and Presentations [SOW 7.1.1.16]

Requirement: SOW*: Prepare formal reports and presentations.*

The Geographic Solutions Project Manager will prepare formal reports and presentations as called for by the Project Management Plan. Reports and presentations will be distributed in approved administrative templates in the Microsoft Office platform: Word, Excel, and PowerPoint (Adobe PDF files will be used when a high level of document security is required).

4.2.q Project Audits [SOW 7.1.1.17]

Requirement: ***SOW 7.1.1.17:*** *Participate and cooperate in project audits, reviews, and IV&V activities.*

The Geographic Solutions Project Manager will participate in project audits, reviews, and IV&V activities, and ensure the cooperation of all project staff required to participate in all audit activities. Execution of all audits, reviews, and IV&V activities will be scheduled with advance notice per the agreed-upon schedule outlines in the Elaboration phase. Control checklists identifying the auditable entities will be distributed in advance of all audits reviews and IV&V activities.

4.2.r ARRA Reporting [SOW 7.1.1.18]

Requirement: ***SOW 7.1.1.18:*** *Provide monthly ARRA reporting for jobs created or retained.*

The Geographic Solutions Project Manager shall provide monthly reports as required by the American Recovery and Reinvestment Act (ARRA) of 2009. All ARRA reporting provided by Geographic Solutions will comply with the Federal Reporting Standards as stipulated in Sections 1201 and 1512 of the American Recovery and Reinvestment Act.

4.2.s Methodology Benefits and Risks [SOW 7.1.1.19]

Requirement: ***4.2 (line 2):*** *Explain the benefits and risks associated with the methodology. Refer to Section D, Exhibit 1, 7.1, Project Management Responsibilities.*

Project management at Geographic Solutions relies on proven and repeatable processes and techniques to accomplish predictable results, thereby significantly reducing the probability of risk. With 16 years of successful delivery of software solutions for workforce development, employment, and training, our proven project methodology has developed along a continuum of persistent improvement.

Benefits

- The PMBOK® framework is the international de-facto standard for Project Management
- Methodology is process-oriented and flexible
- Methodology provides the knowledge to manage lifecycle of any project or program
- Methodology defines processes for inputs, tools, techniques, and outputs (deliverables)
- Methodology is built on industry best practices

Risks

- Methodology is potentially constrained by some external factors: political, environmental

4.2.t Project Management Standards

Requirement: ***4.2 (line 3):*** *Identify standards incorporated into the project management approach.*

Geographic Solutions Project Management approach integrates industry standards to provide guidance and methodologies to our organizational processes. We have extensive experience managing projects of all sizes for a diverse range of clients in accordance with one or more of the following industry standards:

Software Engineering Institute (SEI) Capability Maturity Model Integration (CMMI ®) The Carnegie Mellon® Software Engineering Institute (SEI) Capability Maturity Model Integration (CMMI ®) is a federal/academic partnership, based on experience with software process improvement. The CMMI ® standardizes software engineering and management practices and describes a process maturity framework of five levels (1-5) that are recognized as a national standard of excellence and process maturity. Levels 2 and 3 (the Repeatable Level and Defined Level, respectively) are the commonly-sought levels by governments to ensure quality standards.

Project Management Institute's (PMI) Project Management Body of Knowledge (PMBOK®). PMI provides global leadership in the development of standards for the practice of the project management profession throughout the world. PMI's premiere standards document, *A Guide to the Project Management Body of Knowledge* (PMBOK® Guide), is a globally recognized standard for managing projects in today's marketplace. The PMBOK® Guide is approved as an American National Standard (ANS) by the American National Standards Institute (ANSI). PMI's Project Management Professional (PMP®) certification is the world's most recognized professional credential for individuals associated with project management. In 1999, PMI became the first organization in the world to have its Certification Program attain International Organization for Standardization (ISO) 9001 recognition.

The Institute of Electrical and Electronics Engineers, Inc (IEEE)
IEEE is an internationally-recognized authority in technical areas ranging from computer engineering, biomedical technology and telecommunications, to electric power, aerospace and consumer electronics, among others. PMI's PMBOK has been incorporated as an IEEE-standard for project management. Through its technical publishing, conferences and consensus-based standards activities, the IEEE produces 30 percent of the world's published literature in electrical engineering, computers and control technology and has nearly 900 active standards.

Guidelines used by Geographic Solutions:
Geographic Solutions' processes and methodologies are grounded in the following IEE standards:

- ISO/IEEE 12207-2008: Systems and Software Engineering – Software Lifecycle Processes
- IEEE Standard 1058-1998: Software Project Management Plans
- IEEE Standard 1016-1998: Software Design Descriptions
- IEEE Standard 1540-2001: IEEE Standard for Software Life Cycle Processes—Risk Management
- IEEE Std 1016-1998 IEEE Recommended Practice for Software Design Descriptions
- IEEE Std 1490-2003, IEEE Guide - Adoption of PMI Standard - A Guide to the Project Management Body of Knowledge
- ISO/IEC/IEEE 16326, Systems and Software Engineering – Life Cycle Processes – Project Management

Unified Process (UP)
The Unified Process (UP) is based on the Rational Unified Process (RUP) and is architecture-centric and iterative. UP involves everything from gathering system requirements to analysis, design, implementation and testing. The UP uses Unified Modeling Language (UML) to create models and documents throughout the software development process (including use cases, class/object diagrams and state transition diagrams).

ISO (International Organization for Standardization) is the world's largest developer and publisher of International Standards. ISO has more than 18,000 international standards and other types of normative documents in its current portfolio. ISO's work program ranges from standards for traditional activities, such as agriculture and construction, through mechanical engineering, manufacturing and distribution, to transport, medical devices, information and communication technologies, and to standards for good management practice and for services.

Guidelines used by Geographic Solutions:

- ✓ ISO17799, is a detailed security standard covering the following areas: 1. Business Continuity Planning; 2. System Access Control; 3. System Development and Maintenance; 4. Physical and Environmental Security; 5. Compliance; 6. Personnel Security; 7. Security Organization; 8. Computer & Operations Management; 9. Asset Classification and Control; 10. Security Policy.

- ✓ ISO 10006:2003, Quality management systems - Guidelines for quality management in projects.
- ✓ ISO/IEC 27002:2005 Information technology – Security techniques – Code of practice for information security management.

4.2.u Risk Management

SOW 7.2. *Risk Management*

Geographic Solutions recognizes that a project as complex and as aggressive in its timeline as the Florida UC Modernization Project will run into issues and potential problems that can place the project at risk. Geographic Solutions identifies and assesses issues for potential risk. Geographic Solutions employs the following steps in its risk management strategy for its development projects:

- **Risk Planning** - Forecast the risks. The major risks that may impact progress are identified and documented.
- **Risk Assessment** - Risks are documented into characteristic categories such as technical and operational, and are quantified on a numerical scale according to likelihood, impact, and level of control.
- **Risk Analysis** - Appropriate responses are developed to minimize the realization of each risk and are documented according to characteristic actions, such as avoidance, acceptance, transfer, etc. Contingency planning is also performed.
- **Risk Handling** - Risk handling across the project permits the ongoing evaluation, aggregation, and status reporting of risks to reduce the overall risk exposure.

Risk management is a key component of the project. Geographic Solutions Team will conduct risk identification, analysis, management, and mitigation of high probability risks which is mission critical to the success of the Project (SOW 7.2.1.4). As part of the GRID Methodology, risks are logged into the Risk Log, evaluated, rated, prioritized, and monitored (SOW 7.2.1.2). Geographic Solutions Project Manager will provide quantitative and qualitative risk analysis which includes the impacts to the schedule, resources, and the budget (SOW 7.2.1.3). Geographic Solutions employs risk mitigation strategies to address risks identified in the Independent Validation and Verification (IV&V) and audit reports (SOW 7.2.1.5).

Geographic Solutions Project Manager will develop the Risk Management Plan (See Section 4.4a.xv) for the Florida UC Modernization Project as a component of the Project Management Plan (SOW 7.2.1.1). Geographic Solutions will plan and facilitate risk meetings on a scheduled basis (SOW 7.2.1.7), and will work with stakeholders to identify, plan for, mitigate, monitor and eliminate risks in all aspects of the project including system development, system interfaces, data conversion, data integrity, operational transition, testing, training, organizational change, disaster recovery, system security, and data security (SOW 7.2.1.6).

Risk Management Process

4.2.v Issue Management

SOW 7.3: *Issue Management*

Geographic Solutions recognizes that a project as complex as the Florida UC Modernization Project will run into issues and potential problems. Geographic Solutions identifies and assesses issues for potential risk. The issue is then classified in a pre-determined category and then be moved to the Risk Register and procedures under the Risk Management Plan will be followed (SOW 7.3.1.1).

Any problems or issues will be documented and monitored through the Geographic Solutions Online Project Communication System (OPC) (SOW 7.3.1.5). The OPC system was designed to provide state and local agencies with real-time access to the project's current status, and to track the progress of incidents and changes. Agency staff can review progress and offer input throughout the process of resolving issues. To create an incident (issue) record, Agency personnel will log on to the OPC system using their assigned User ID and Password and complete an incident template to record details of the issue. Agency staff will record a priority for the issue by choosing Low, Medium, High, or Critical (SOW 7.3.1.3).

The Geographic Solutions Issue Resolution Process includes the following:

- **Identify Request –** The issue originator completes the issue template including the description
- **Log Request –** The issue is logged, monitored, and tracked through resolution (SOW 7.3.1.2)
- **Classify Request –** The issue is classified into an origination group
- **Impact Evaluation -** 1- Fatal, if not resolved, 2- May impact Scope / Budget, 3- Required for documentation
- **Assessment -** Quantitative and Qualitative Risk Analysis (SOW 7.3.1.3)
- **Analysis Results –** Resources, Schedule, Budget, and Quality (SOW 7.3.1.3)
- **Prioritization -** Code Red, Critical, High, Medium, Low (SOW 7.3.1.3)
- **Status -** Analysis Underway, Analysis Not Begun, Deferred, Evaluated, Awaiting Decision, Cancelled, Complete, Resolution In-Progress, Escalated
- **Resolution –** Actions, Approvals, Work with originator on Issue resolution plan (SOW 7.3.1.4)
- **Communication –** The issue decision will be communicated to the requester and the Agency's project management team. Any affected project plans will be revised and will reflect the change in work effort (SOW 7.3.1.6, SOW 7.3.1.7). If a resolved issue has an impact on the project work plan or deliverables, updates and revisions will be made and communicated to Agency's project management team (SOW 7.3.1.6, SOW 7.3.1.7). The Geographic Solutions Project Manager documents any issues in the Project Status Report, and seeks the Project Sponsor's input when an issue arises that cannot be readily resolved (SOW 7.1.3.4, SOW 7.3.1.6, SOW 7.3.1.7).

4.2.w Quality Management

SOW 7.4: *Quality Management*

Geographic Solutions understands that managing quality is ongoing and critical throughout each discipline, workflow, and phase of the project. Quality Control activities will include software design, code reviews, reviews of system testing, problem identification and tracking, corrective action review, and documentation reviews.

The Geographic Solutions Team will monitor and control quality by conducting ongoing project work reviews. The project managers will review and maintain quality logs and will report recommendations to the Agency in a timely manner. Geographic Solutions Team will ensure that the detailed work plans are updated to reflect implemented quality recommendations. As with any project, managing quality throughout the project lifecycle process may require changes in standards or guidelines. Geographic Solutions Team has provided quality controls in every stage of the project to implement, measure, and assess process quality and product quality. Quality Control review reports outlining quality management activities will be produced and made available to the Agency upon request (SOW 7.4.1.5). Each project deliverable will have a narrative description of quality assurance measure applied (SOW 7.4.1.3).

The Geographic Solutions Project Manager will develop the Quality Management Plan (See Section 4.4.a.xii) for the Florida UC Modernization Project as a component of the Project Management Plan

(SOW 7.4.1.1). The Quality Management Plan will be used to ensure quality throughout the UC System Development Lifecycle and provide plans for staffing and schedule to address and deficiencies identified through the quality management process (SOW 7.4.1.6).

The Geographic Solutions Project Team will process all project deliverables and submit them to the Agency. Quality assurance records are maintained by Geographic Solutions in the OPC (SOW 7.4.1.4). Quality Assurance logs will be made available to the Agency upon request. Quality Assurance standards for all project deliverables will be developed according to the Section 8.1, SOW (SOW 7.4.1.2).

GRID – Quality Management

4.2.x Configuration Management Processes

SOW 7.5 *Configuration Management*

To ensure the GUS system meets established configuration requirements configuration records will be maintained through the system life cycle and changes to the configuration baselines will be properly identified, recorded, evaluated, approved, incorporated, and verified (SOW 7.5.1.1). Geographic Solutions uses its GRID methodology to performing a full analysis and design to determine project requirements and create a base system configured to meet these requirements (SOW 7.5.1.4). The information gathered during the Requirements Analysis stage is used to select the appropriate components from the UC Modernization Project Component Library, and configure a system to meet the Agency's needs. Project configuration items will be identified, classified and documented and posted on a project SharePoint site (SOW 7.5.1.3).

Configuration records will be maintained through the system life cycle and changes to the configuration baselines will be properly identified, recorded, evaluated, approved, incorporated, verified, and shared with the Agency's Project Director and applicable internal and external stakeholders (SOW 7.5.1.2).

Testing will occur throughout the Development, Quality Assurance, and User Acceptance phases of the project which may lead to configuration modifications. The versioning of the effected configuration items will be identified by our quality assurance team, evaluated by the Executive Steering Committee, and then monitored through our OPC system for easy and timely access by all internal and external stakeholders. This process promotes modification of existing configuration items through collaboration of Geographic Solutions and Agency staff (SOW 7.5.1.5).

Geographic Solutions will prepare a Configuration Management Plan (See Section 4.4.avii) to identify items that are subject to configuration control and are traceable to their specifications or equivalent documented descriptions. The Geographic Solutions Project Manager will lead weekly project status meetings where issues concerning configuration modifications, scheduling, and auditing can be addressed and resolutions agreed upon collaboratively (SOW 7.5.1.6 and SOW 7.5.1.8). All meeting outcomes will be documented in meeting minutes distributed via email and posted on a project SharePoint site to provide a traceable path for configuration changes (SOW 7.5.1.7).

4.2.y Project Communications Processes

SOW 7.6 *Project Communications:*

Geographic Solutions' experience in workforce development systems has shown us that good communication is essential to effective design, development, and implementation. The communication requirements of all internal and external stakeholders that will be affected by the UC Modernization Project need to be identified. A Stakeholder Analysis and Organizational Assessment will be held to identify and confirm the communications needs and protocols (SOW 7.6.1.1). At this meeting, the vital

information required for a Communication Management Plan (See Section 4.4.a.ix) and the methods used to disseminate this information will be outlined.

This plan will be the framework upon which all communication needs will be developed and is defined in Section 4.4.a.iv of this proposal (SOW 7.6.1.2). Communication will be continually monitored and controlled including metrics to measure the activities of the project. Modifications to agreed upon design and requirements will be communicated through our Online Project Communications (OPC) system. This OPC mechanism will be used to monitor all services and issues related to the UC Modernization Project, including change and incident management processes. The OPC system was specifically designed to provide state and local agencies with real-time access to the project's current status, and to track the progress of incidents and changes (SOW 7.6.1.4).

The Geographic Solutions Project Manager will lead weekly project status meetings to address core business processes and to convey project status. Prior to each Project Status Meeting, the Project Manager will prepare and distribute a UC Modernization Project meeting agenda and status report (SOW 7.6.1.3). The Project Manager may also plan, organize and facilitate project meetings outside the scheduled weekly meeting as needed to report implementation readiness evaluations as the project progresses (SOW 7.6.1.5). All meeting outcomes, minutes and project deliverables will be documented and distributed via email to Agency Project Director and all relevant stakeholders and posted on a project SharePoint site (SOW 7.6.1.6).

4.3 Project Schedule

The Project Schedule for the UC Modernization Project is comprised of 4 organizational categories:

1) Project Phases;

2) Phase Gate Milestones;

3) Base-lined, resource loaded and leveled Project Schedule; and

4) Standard for software development and maintenance tasks.

A complete, detailed project plan is included at the end of Tab 4.

4.3.a Project Phases

Requirement: ***4.2 (line 1):*** *Provide a fully defined, resource loaded and leveled project schedule with all the tasks and associated effort to deliver the proposed UC Solution.*

In accordance with Section 443.1113(4), Florida Statutes, Geographic Solutions will deliver the UC Modernization Project in two phases:

Phase I: Proposed Go Live - 6/30/2011

The new Unemployment Claims and Benefits Internet portal that replaces the Florida Unemployment Internet Direct and the Florida Continued Claims Internet Directory systems and all requirements and associated deliverables will be deployed to full production operational status no later than the end of fiscal year 2010-2011.

Phase II: Proposed Go Live - 6/29/2012

The new Call Center Interactive Voice Response System, the new Benefit Overpayment Screening System, the new Internet and Intranet Appeals System, and the new Claims and Benefits System will be deployed to full production operational status no later than the end of fiscal year 2011-2012.

Note: *These dates are based upon a written notification to proceed being received on or before 2/28/2011. Should the notification occur later the scheduled project start date, the project schedule will be adjusted accordingly.*

4.3.b Phase Gate Milestones

Requirement: ***4.3 (line 2):*** *Indentify proposed phase gate milestones as specified in SOW 7.7 Phase Gate Reviews*

The proposed Phase Gate Milestones as specified in Section D, Exhibit 1, 7.7 represent the completed and approved activities for each phase of the project lifecycle. Phase Gate Reviews are held at the completion of each project phase and are identified in the project phase diagram below.

GRID - Phase Gate Milestones

The overall project schedule for the UC Modernization Project is built upon these proposed phase gates to provide formal check points between the Agency and Geographic Solutions on project progress.

The Phase Gate Reviews include a comprehensive health status check to authorize payment for the next project phase, and to authorize Geographic Solutions to proceed to the next phase of the UC Modernization Project.

4.3.c A Base-lined Project Schedule (per PMI Standards)

Requirement: ***4.3 (line 3):*** *The project schedule should be base-lined in accordance with Project Management Institute (PMI) standards and capable of being used as an Integrated Master Schedule (IMS) with appropriate performance metrics.*

The UC Modernization Project schedule will be base-lined in accordance with the Project Management Institute's standards for scope, schedule, and cost performance. Once the plan is base-lined, it may only be changed when a change request is generated and approved through the Integrated Change Control process. The scope, schedule, and cost baselines will be combined into a performance measurement baseline to be used as an overall project baseline against which integrated performance can be measured via earned value measurements.

The Integrated Master Schedule (IMS) will be created from the results of creating the work breakdown structure and the Integrated Master Plan (IMP). The IMP is an event-based, top-level plan consisting of a hierarchy of Program Events, with each Event being supported by specific Accomplishments, and each Accomplishment associated with specific Criteria to be satisfied for its completion. The three elements of the IMP are: 1) Event - a program assessment point that occurs at the culmination of significant program activities; 2) Accomplishment - is the desired result(s) prior to or at completion of an Event that indicates a level of the program's progress; and 3) Criteria - provides definitive evidence that a specific Accomplishment has been completed.

The IMP is expanded to a time-based IMS to produce a networked, multi-layered schedule showing all the detailed tasks required to accomplish the work effort contained in the IMP. The IMS flows directly from the IMP and supplements it with additional levels of detail. It incorporates all of the IMP events, accomplishments, and criteria, and to these activities it adds the detailed tasks necessary to support the IMP criteria along with each task's duration and its relationships with other tasks. The IMP/IMS is related to the product-based work breakdown structure (WBS), by giving a second type of view on the effort. Performance metrics will be generated from both the IMP and the IMS.

4.3.d Standard for Development and Maintenance Tasks

Requirement: ***4.3 (line 4):*** *Describe the standard used for defining the software development and maintenance tasks.*

The Development and Maintenance tasks standards used by Geographic Solutions adhere to the IEEE standards 830-1998 and 12207-1998. The plan specifics are outlined in detail in the project plan found at the end of Tab 4. Analysis and measurement of development and maintenance tasks adheres to the ISO standard 15939.

4.4 Project Management Plans

Requirement: ***4.4 (line 1):*** *Describe proposed approach and methodology for project planning including project execution, monitoring, controlling and closing that will guide the decision making that occurs throughout the project.*

Our purpose in the Project Planning Process is to collaboratively produce and communicate effective and workable project management plans. This process determines the scope of the project management and technical activities, identifies process outputs, project tasks and deliverables, establishes schedules for project task conduct, including achievement criteria, and required resources to accomplish project tasks. As a result of successful implementation of the Project Planning Process, the following deliverables are accomplished: The scope of the work for the project is defined; the feasibility of achieving the goals of the project with available resources and constraints are evaluated; the tasks and resources necessary to complete the work are sized and estimated; interfaces between elements in the project, and with other project and organizational units, are identified; plans for the execution of the project are developed; and plans for the execution of the project are activated.

The following table outlines the project management process groups as defined by the Project Management Institute, the correlating Geographic Solutions GRID phases, key activities of each process group, and the decision making guides that occur throughout the project. Decision making may occur in such venues as meetings, workshops, and joint application design sessions. Other decision making may be based on documents, reports, audits, and phase gate reviews.

4.4.a Approach / Methodology for the Project Management Processes

Requirement: ***4.4 (line 2):*** *Include a definition of your approach and methodology for each of the project management processes defined in Section D, Exhibit 1, 8.1 Planning.*

The Geographic Solutions Project Management Plan will be formatted in one document as a compendium of the subsidiary detailed management plans. Each subsidiary management plan will provide and communicate effective and workable plans. The preliminary Project Management Plan will be delivered to the Agency within 30 days of project initiation at the project kickoff meeting to include an overview of the project approach, the project schedule, the project work locations, plans for submitting deliverables, plans for facilitating the Agency's review and approval of deliverables, plans for requirements validation activities, and other areas of coordination necessary between the Agency and Geographic Solutions.

The Project Management Plan will be reviewed and accepted by the Agency and Geographic Solutions during the Initiation and Planning phases. The Geographic Solutions Project Manager shall prepare the plans for execution of the project. The plans associated with the execution of the project shall contain descriptions of the associated activities and tasks, and identification of the software products that will be provided. These plans shall include, but are not limited to: Schedules for the timely completion of tasks; Estimation of effort; Adequate resources needed to execute the tasks; Allocation of tasks; Assignment of responsibilities; Quantification of risks associated with the tasks or the process; Quality assurance measures to be employed throughout the project; Costs associated with the process execution; Provision of environment and infrastructure; and Definition and maintenance of a life cycle model that is comprised

of stages using the defined life cycle models for the UC Modernization Project. Other project management plans may be developed as deemed necessary by Geographic Solutions in order to facilitate the successful completion of the project and deliverables.

The following section describes each of the sub-components of the Project Management Plan as outlined in the SOW, and defines the Geographic Solutions approach and methodology in the suite of project management processes for the UC Modernization Project. Each plan sub-component contains a summary of the process performed to create the task, followed by a more detailed objective statement and description of what the plan element is designed to accomplish.

4.4.a.vi Work Breakdown Structure (WBS)

SOW 8.1 Planning: *1. Work Breakdown Structure (WBS)*

Geographic Solutions uses the Work Breakdown Structure (WBS) as a tool to define the project and groups the project's discrete work elements in a way that helps organize and define the total work scope of the project. A WBS element may be a product, data, a service, or any combination. Each descending level of the WBS represents an increased level of detailed definition of the project work. The work is broken down into all the discrete elements, the total sum of which represents all the work and products necessary to complete the project. Geographic Solutions creates a WBS and a WBS Dictionary to describe each WBS element with the resources and processes to produce each element.

The WBS also provides the necessary framework for detailed cost estimating and control along with providing guidance for schedule development and control. Additionally the WBS is a dynamic tool and can be revised and updated as needed by the project manager.

4.4.a.vii Organizational Breakdown Structure (OBS)

SOW 8.1 Planning: *2. Organizational Breakdown Structure (OBS)*

WBS and OBS Differences

Once the WBS is complete, the OBS will be developed, indicating the organizational relationships and providing the framework for assigning the UC Modernization Project's work responsibilities. The OBS is structured by the Responsible Department and the Performing Department at the lowest level. The Performing Department level is where the responsibility and resources needed to accomplish the project will be assigned.

Geographic Solutions begins the OBS process by completing a RACI-VS Model to identify roles or groups that are Responsible, Accountable, Consulted, Informed, Verifies, and Signs. The RACI-VS is an input to several documents, such as the OBS, the Schedule Management Plan, and the Communications Plan.

Once the OBS is complete, we merge the WBS and the OBS to create a Responsibility Assignment Matrix.

Example of RACI-VS Model Indentifying Role or Group Responsibilities

4.4.a.viii Project Schedule

SOW 8.1 Planning: *Subcomponent 3. Project Schedule*

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The UC Modernization Project schedule will be created using Microsoft Project and will be disseminated in the form of Gantt charts, network diagrams, milestone charts, and task sheets. The schedule will convey supporting details such as resource utilization, earned value metrics, and adherence to or variance from the baseline schedule. The schedule will also be reviewed in terms of the project management plans, status reports, metrics evaluation, and change requests.

4.4.a.ix Communication Management Plan

SOW 8.1 Planning: *4. Communications Management Plan*

Geographic Solutions Communications Plan requires astute planning and implementation of effective communications processes. The Geographic Solutions communications methodology provides for the following:

- Stakeholder Analysis and Organizational Assessment to identify and confirm the communications needs and protocols.
- Communication of the transformation from the legacy system to the new solution, to include management of the process, business process re-engineering, training (solution and technology), and stakeholder adoption of the new solution.
- Communication of the continual monitoring and controlling results, including metrics to measure the activities of the project
- Reporting to the Agency Project Manager of any project issues impacting Stakeholders.
- Communication of implementation readiness evaluations.
- Communications to promote a problem-solving environment, encouraging feedback and participation.
- The provision of a project communications and document repository using Microsoft SharePoint.

4.4.a.x Document Management Plan

SOW 8.1 Planning: ***5. Document Management Plan***

Document Management Lifecycle

Microsoft SharePoint will be used as the tool for maintaining the repository of document work products. All defined project participants shall have an appropriate level of access to the SharePoint document repository.

The Document Management Plan includes the following activities and categories:

- *Identify document management roles* – Ensure that the plans incorporate the feedback of the key stakeholders, and who will participate in document management processes.
- *Analyze document usage* – Determine the types of documents users will need to read, write, update, delete, or approve.
- *Plan the organization of documents* – Site collections, sites, and libraries with folders/subfolders.
- *Plan how content moves between locations* – Move or copy a document from one site or library to another at different stages of its life cycle.
- *Plan content types* – Content types organize information about types of documents, such as metadata, document templates, policies, and workflow processes organize documents and enforce consistency.
- *Plan workflows* – Control and track how documents move from one team member to another as each participant collaborates in a document's life cycle.
- *Plan content control* – Degree of control based on content type or storage location.
- *Plan policies* – For each content type, plan information management policies to ensure that documents are properly audited, retained, labeled, and otherwise handled according to institutional and legal requirements.

We recommend that base-lined document work products be stored in Portable Document Format (PDF). If the baseline is released and a document work product needs to be updated, the updates will be made in the native format and a new PDF file will be created.

4.4.a.xi Schedule Management Plan

SOW 8.1 Planning: *6. Schedule Management Plan*

The Schedule Management Plan content addresses the following items:

- Roles and responsibilities – Description of different roles and ability to access the project schedule.

- Update frequency – A description of the timing of schedule updates. The schedule will be updated weekly or on another basis based on the UC Modernization Project requirements.
- Progress feedback – A description of how the schedule feedback will be delivered, such as status reports, meeting, and email.
- Schedule change review and approval – A definition of the process required to evaluate, approve, and the authority to approve proposed schedule changes.
- Tools – A description of the scheduling tools that will be used on this project, who will have access to the tool, and what various people can do with the tool (read the schedule, update schedule, etc.).
- Reports – A description of the schedule reports, the types and names of reports to be used to manage the project, who will receive the reports, and the frequency of the reports.
- Schedule integration – A master schedule as the result of a roll-up of other underlying schedules. The schedule will be an integrated master schedule.

Our metrics measure the progress of the project and the project health and performance. Our Project Manager and solutions teams implement specific measures as well as high/low thresholds to assess the status that the metric has been identified to measure. In order to be meaningful, our metrics are reported in a timely, easily understood fashion to our internal and Agency stakeholders. Review of metrics information will determine any potential strategies and corrective action plans to keep the project on track.

Project metrics are derived from a Performance Measurement Baseline using Earned Value Measurement. The list in the following figure describes the six steps necessary to define the Performance Measurement Baseline so that Earned Value metrics may be obtained:

Steps of the Performance Measurement Baseline

The following Earned Value Measurements against the project baseline will be used to monitor schedule progress:

- **Budgeted Cost of Work Scheduled (BCWS)**
  - Budgeted Cost of Work Scheduled (BCWS) is automatically maintained by Microsoft Project as time passes after a plan baseline is saved within the software.

- **Budgeted Cost of Work Performed (BCWP)**
  - Budgeted Cost of Work Performed (BCWP) will be automatically calculated by Microsoft Project as the “% complete” activity status is collected and entered into the appropriate fields in the program; collection is as per the collection of progress data.

- **Schedule Variance (SV)**
  - Schedule Variance (SV) is automatically calculated by Microsoft Project as the BCWS and BCWP values change. In the “Earned Value Schedule Indicators” view of the software, the topmost activity in the WBS will display the schedule variance at present. An SV value of +/- 1% of BCWS will elevate the schedule performance risk rating, which will prompt the Geographic Solutions project manager to investigate into the cause and potential remedies to the problem.

- **Schedule Performance Index (SPI)**
  - Schedule Performance Index (SPI) will be considered to be within acceptable limits if it lies between 0.95 and 1.1. If the SPI value exceeds either of these limits, investigation into the cause and potential remedies to the problem will begin. SPI values exceeding these limits will also cause an elevation in the risk rating of the schedule fit risk item.

- **Estimated Time at Completion (ETAC)**

- Estimated Time at Completion (ETAC) will be used to estimate the date on which the project will finish, based on schedule progress to date. Each measurement will be retrieved from Microsoft Project and published to the project reporting website on a basis to be determined by the UC Modernization Project requirements.

- **Critical Ratio (CR)**
  - The Critical Ratio (CR) is treated as a separate measurement because it is a composite.
  - CR has a dependency on a budget control measurement; specifically, it depends on the Cost Performance Index (CPI) and the Schedule Performance Index (SPI) of this section: **CR = SPI * CPI.** If the Critical Ratio (CR) is below 0.9 or above 1.2, the project performance risk rating will elevate, which will prompt investigation into the cause and potential remedies to the problem.

4.4.a.xii Quality Management Plan

SOW 8.1 Planning: *7. Quality Management Plan*

The Quality Management Plan identifies the acceptable level of quality, which is defined by the stakeholders of the UC Modernization Project, and describes how the project will ensure this level of quality in its deliverables and work processes. The Geographic Solutions quality management activities ensure that:

- Products are built to meet agreed upon standards and requirements
- Work processes are performed efficiently and as documented
- Non-conformances found are identified and appropriate corrective action is taken

Quality Management plans apply to all UC Modernization Project deliverables and project work processes. Quality control activities monitor and verify that project deliverables meet defined quality standards. Quality assurance activities monitor and verify that the processes used to manage and create the deliverables are effective.

Quality Plan Components
The Quality Management Plan describes the following quality management components:

- Quality objectives
- Key project deliverables and processes to be reviewed for satisfactory quality level
- Quality standards
- Quality control and assurance activities
- Quality roles and responsibilities
- Quality tools
- Plan for identification, tracking, and reporting quality control and assurance problems
- Software design and code reviews
- Review of system testing
- Corrective action review
- Documentation reviews

Managing quality is a continuous process and is ongoing for the duration of the project. As data is analyzed, the results may require changes in standards or guidelines. Quality Controls are built into every stage of the UC Modernization Project to be approved by the Agency. Quality Management is implemented throughout all disciplines, workflows, and phases. Managing quality throughout the project lifecycle process means that we implement, measure, and assess both process quality and product quality. We augment our quality practices by using the appropriate tools to trace requirements and changes throughout the life of our projects.

All project deliverables will be processed internally by Geographic Solutions staff before submittal to the Agency. Internal quality assurance records are maintained by Geographic Solutions. Quality Assurance logs will be made available to the Agency upon request. Quality Assurance standards for all project deliverables will be developed according to the Section 8.1, SOW. Each deliverable will have a narrative description of quality assurance measure applied.

Our Quality Management Planning aims to achieve stakeholder expectations in terms of quality, and the Quality Management Plan helps to ensure that deliverables are being produced to an acceptable quality.

4.4.a.xiii Issue Management Plan

SOW 8.1 Planning: *8. Issue Management Plan*

Geographic Solutions maintains the delineation between a project issue and a project risk. Issues are identified and assessed for potential risk. Once the severity of the issue is classified in a category of pre-determined issue severity metrics, the issue will then be moved to the Risk Register and procedures under the Risk Management Plan will be followed.

Our issue management system includes the following:

- **Issue Identification**
  - *Issue originator completes the issue initiation form including the issue description*
- **Issue Log**
  - *The issue is logged, monitored, and tracked throughout the resolution lifecycle*
- **Issue Classification (human, system, environmental)**
  - *The issue is classified into an origination group*
- **Issue Impact Evaluation (severity level – may be classified as multiple levels**)
  - *1 - Fatal, if not resolved*
  - *2- May impact Scope / Budget*
  - *3- Required for documentation*
- **Issue Assessment (risk potential)**
  - *Quantitative Analysis*
  - *Qualitative Analysis*
- **Issue Analysis and impacts to:**
  - *Resources*

- *Schedule*
- *Budget*
- *Quality*

- **Issue Prioritization**
  - *Code Red*
  - *Critical*
  - *High*
  - *Medium*
  - *Low*

- **Issue Status (status codes)**
  - *A – Analysis Underway*
  - *N – Analysis Not Begun*
  - *D – Deferred*
  - *E – Evaluated, Awaiting Decision*
  - *X – Cancelled*
  - *C – Complete*
  - *R – Resolution In-Progress*
  - *S – Escalated*

- **Issue Resolution**
  - *Action Items*
  - *Approvals*
  - *Issue resolution plan*

- **Issue Communication**
  - Final issue decision will be communicated to the requester, the Agency's project management team, and other designated parties.
  - Updates to plans and budgets. Any affected project plans will be revised to show the change in work effort.
  - If a resolved issue has a material impact on the project work plan or deliverables, updates and revisions will be made and communicated.

Should an issue arise that cannot be readily resolved within the project team, the Geographic Solutions Project Manager documents the issue in the Project Status Report, and seeks the Project Sponsor's guidance or decision.

GRID – Issues Management and Resolution

4.4.a.xiv Scope Management Plan

SOW 8.1 Planning: *9. Scope Management Plan*

Our approach to Scope Management is tenacious in pursuit of the objectives and the commitment to the UC Modernization Project. As described in the ITN, Exhibit 1, Scope of Work (SOW), Geographic Solutions is prepared to set the direction for the project to address the business Problem Statement, accomplish the Contract Objectives, and meet the Agency's Business Objectives.

Expectations and priorities have been set for all project team members with the SOW, Feasibility Study, RTTN, Attachment Q, and the "As Is" and "To Be" processes have been reviewed by Geographic Solutions' team members in their respective roles and responsibilities. Our resources are available and are committed to the successful delivery of the UC Modernization Project. Our Executive Management Team is committed to the project by promoting best practices and influencing the process and outcome of this project.

Once the project begins Execution, the WBS, project performance, scope or requirement management plan, and change requests will be used to determine if a change is beneficial, has occurred, or should occur. Changes that typically effect scope are:

- An external event (e.g. a change in a government regulation)
- An error or omission in defining the scope of the product
- An error in defining the scope of the project
- A value-added change (e.g. the project is able to reduce cost by taking advantage of technology that was not available when the scope was originally defined)

The Requirements Management Plan addresses how a scope change would be facilitated through all levels of scope (e.g. business need, project objectives, high level requirement down to test cases and implementation requirements). Scope changes are fed back through the planning process, technical and planning documents are updated as needed, and stakeholders are notified as appropriate. Reasoning behind the corrective actions and changes from scope change control are documented for use as lessons learned. Each change to scope will be communicated with a clear understanding of the impact of the change on each target group.

Once we have an agreement to our base-lined plan, the change control process starts with individual team members identifying out-of-scope conditions. The Scope Management plan describes our change management process for changes to base-lined scope, system requirements, budget, and schedule. Our project manager has overall responsibility for all aspects of contract performance and makes the appropriate decisions with regard to trade-offs between cost, schedule, and system performance objectives in order to meet the UC Modernization Project contract requirements.

4.4.a.xv Risk Management Plan

SOW 8.1 Planning: 10. Risk Management Plan

The Risk Management Plan allows the Geographic Solutions project manager and stakeholders to become proactive in identifying, planning for, mitigating, and eliminating risks. This involves executing the risk management plans in order to respond to risk events over the course of the project. The risk management plan indicates the type of risk response that has been agreed to in the event that the risk or risk trigger occurs. Some of the identified risks events will occur, others will not. The ones that do are actual risk events, and the project management team must recognize that a risk has occurred so

that the response developed can be implemented in conjunction with the Agency's risk management standards.

The planned risk responses are typically a mitigation (lessoning of the impact) or contingency (implementing another prepared plan if the risk occurs). However, some risk responses are unplanned workarounds. Workarounds are unplanned responses to negative risk events. They are only considered an unplanned workaround, in the sense that the response was not defined in advance of the risk event occurring. Risk Management is a continuous process in the UC Modernization Project. Quantitative analysis of risk is performed to create a Composite Risk Index (Composite Risk Index = Impact of Risk Event x Probability of Occurrence). Once risks have been identified and assessed, all techniques to manage the risk fall into one or more of these four major categories of risk responses:

- Avoidance (eliminate, withdraw from or not become involved)
- Reduction (optimize - mitigate)
- Sharing (transfer - outsource or insure)
- Retention (accept and budget)

Risks are logged into the Risk Log, evaluated, rated, prioritized, and monitored for impact and likelihood in the same manner as issues (Refer to Section 4.4.8) using qualitative and quantitative measures.

During risk analysis, the Geographic Solutions project manager addresses all aspects of the project to include system development, system interfaces, data conversion, data integrity, operational transition, testing, training, organizational change, disaster recovery, system security, and data security. Risk mitigation strategies for high probability risks and risks identified by findings in the IV&V and audits are planned and reviewed in risk status meetings.

4.4.a.xvi Resource Management and Staffing Plan

SOW 8.1 Planning: 11. Resource Management and Staffing Plan

The purpose of the Resource Management and Staffing Plan is to provide the UC Modernization Project with necessary human resources, and to maintain and extend their competencies, consistent with business needs. The process assures the providing of a supply of skilled and experienced personnel qualified to perform life cycle tasks required to bring the UC Modernization Project to a successful delivery. Non-labor resources are integrated into the plan in support of the Staffing Plan as required.

As a result of the successful implementation of the Staffing Plan:

- Skills required by projects are identified
- Necessary human resources are provided to projects
- Skills of personnel are developed, maintained, or enhanced
- Conflicts in multi-project resource demands are resolved

- Individual knowledge, information, and skills are collected, shared, reused, and improved

The main activities for staffing are: skill identification; skill development; and skill acquisition and provision. It is paramount that the right mix and categories of appropriately trained personnel are available and organized for the planned activities in a timely manner. Our staff is assigned by roles, expertise, responsibility level, or a combination thereof. Governance of resources ensures project staff and supporting resources are continuously meet the requirements, milestones, and deliverables of the UC Modernization Project.

4.4.a.xvii Configuration Management Plan

SOW 8.1 Planning: 12. Configuration Management Plan

The Geographic Solutions project team will perform configuration management in accordance with the approved Configuration Management Plan and will identify items that are subject to configuration control and are traceable to their specifications or equivalent documented descriptions. Configuration records will be maintained through the system life cycle and changes to the configuration baselines will be properly identified, recorded, evaluated, approved, incorporated, and verified.

The Geographic Solutions project team will manage the recording, retrieval and consolidation of the current configuration status and the status of all preceding configurations to confirm information correctness, timeliness, integrity, and security. The team will also perform audits to verify compliance with the baseline contract agreement requirements.

The Configuration Management Plan defines the Configuration Management Process. The purpose of our Configuration Management Process is to establish and maintain the integrity of all identified outputs of a project or process and make them available to all concerned parties.

As a result of the successful implementation of the Configuration Management Process:

- A configuration management strategy is defined
- Items requiring configuration management are defined
- Configuration baselines are established
- Changes to items under configuration management are documented and controlled
- The configuration of released items is controlled
- The status of items under configuration management is made available throughout the life cycle
- The plan for the promotion, versioning, release, delivery, and audits of configurable items is managed and controlled
- Documents and formal deliverables are stored in the document management system

Configurable item changes will be controlled and managed by our change control process. When deviations to the baseline occur, the configuration management process will be executed to perform the evaluative process to assess, track, approve and implement software and hardware changes to the baseline configuration. All configurable items, such as hardware, software, and documents such as work products and deliverables are subject to the configuration management plan process.

4.4.a.xviii Knowledge Management Plan

SOW 8.1 Planning: 13. Knowledge Management Plan

Geographic Solutions Knowledge Management Plan leverages and contributes knowledge to continually build and reuse proven practices. The plan establishes and maintains a network of experts within the organization to include the identification of the experts, a list of their expertise, and the identification of available information within a classification schema (knowledge area). Explicit knowledge and tacit knowledge sharing will be supported in terms of knowledge capture and up-to-date maintenance for access by the stakeholders in the process described in the Configuration Management Plan. A repository for this knowledge will be provided using the existing Geographic Solutions Virtual Community Forum site, enabling internal and external stakeholders access to key knowledge required to ensure quality and timely product delivery.

The UC Modernization Project has identified the need to capture the key knowledge of its workforce and lessons learned. The methods by which we capture this knowledge may be in the form of:

- Providing the vehicle for a senior level employee to impart their knowledge into a knowledge management information technology solution
- Improving access to the Agency's already rich, explicit information
- Capturing tacit knowledge of the Agency workforce and effecting cultural changes that will encourage people to share what they know

There are three goals where knowledge management activities can help the Agency and the UC Modernization Project's ability to deliver its mission:

- To sustain knowledge across business units and generations – knowledge management activities will identify and capture the information that exists across the Agency
- To assist people to find, organize, and share information they already have - knowledge management implementations will help to efficiently manage the Agency's knowledge resources
- To increase collaboration and facilitate knowledge creation and sharing - knowledge management will develop techniques, tools, venues, and facilities to enable teams and communities to collaborate across the barriers of time and space

The Knowledge Management Plan sets the roadmap to move to an environment that encourages knowledge sharing, preserves the Agency's organizational memory, and allows Agency employees to learn both individually and from each other. Geographic Solutions staff will conduct knowledge transfer formal reviews and meetings throughout the entire lifecycle of the project. These collaborations will either be technically oriented or process/functional oriented. Progress reports and meeting minutes will be compiled, assessed, distributed, and housed in a knowledge management repository.

Knowledge management principles enable the Agency to capture, organize, analyze, share, and reuse both explicit and tacit knowledge to make better and faster decisions across geographic, functional, and team boundaries. The cornerstones of Geographic Solutions knowledge management system are people, processes, and technology—all three aspects are needed to capture and harness the knowledge within the Agency UI staff.

4.4.a.xix Phase Gate Review and Acceptance Process

SOW 8.1 Planning: ***14. Phase Gate Review and Acceptance Process***

Each Phase Gate Review is an independent confirmation by the Phase Gate Review Team (including relevant critical partners) to the IT Governance organization or delegated authority that all required project reviews have been successfully conducted. It checks that the project manager has satisfactorily produced all the required deliverables and adequately met all exit criteria for a given UC Modernization Project phase to permit advancement to the next phase. The emphasis of the Phase Gate Review is on:

- The successful accomplishment of phase objectives
- The plans for the next life cycle phase
- The risks associated with moving into the next life cycle phase

The results of the Phase Gate Review team's assessment are provided with recommended action to the IT Governance organization or delegated authority for decision.

4.4.a.xx Phase Gate Approval Criteria

SOW 8.1 Planning: ***15. Phase Gate Approval Criteria***

Deliverables for each Phase of the UC Modernization Project are outlined in the Deliverables List Document. Projects must complete each of the required deliverables unless otherwise agreed to and tailored in the Project Management Plan, Scope Management Plan. Each deliverable in the Phase receives a score of 1, 2, or 3, based on the following criteria:

- Completeness
  - 1 = Incomplete deliverable or deliverable does not exist
  - 2 = Deliverable needs to be more detailed
  - 3 = Deliverable is complete
- Accuracy
  - 1 = Deliverable information is not accurate or is inconsistent
  - 2 = Deliverable needs to be more detailed
  - 3 = Deliverable is accurate
- Adequacy
  - 1 = Deliverable does not follow best practices
  - 2 = Deliverable needs to be more detailed
  - 3 = Deliverable is adequate and meets the defined purpose for which it was designed and follows best practices

It is suggested that projects receiving a total score of 3 on an individual deliverable (a rating of 1 for each criteria evaluated) may be recommended for discontinuation. Projects receiving total scores on

individual deliverables of 4 - 8 can be approved with the condition of improvement of the deliverable(s). If each of the deliverables in a phase receives criteria scores of 9 the project can be recommended for approval. Please note that Phase Gate approval(s) can be impacted by Exit Criteria, Reviewer Questions, and Known Project Risks and Issues. Each Phase Gate has distinct acceptance criteria according to the requirements of the UC Modernization Project phase. Phase Gate Review Forms are used in this process to determine specific acceptance parameters and criteria for each phase.

4.4.a.xxi Project Change Control Management Plan

SOW 8.1 Planning: *16. Project Change Control Management Plan*

The Change Control Management Plan provides the UC Modernization Project with a method of controlling and monitoring project changes. Change is defined as any activity that alters the scope, schedule, deliverables, or costs of the project. The Change Management Plan also seeks to increase communication regarding change to the project, while delegating authority to facilitate appropriate decisions. Key objectives are to:

- Identify changes in scope, or other unplanned activity, in advance and control them
- Resolve any questions or issues that may surface between vendors and the project team regarding scope and/or project deliverables outlined in the Scope of Work
- Ensure that new tasks and other requested changes are justified, and that affected deliverables are identified and modified accordingly
- Obtain authorization to proceed with the changes and assign to appropriate individuals to be completed
- Monitor the progress and cost of the changes

The Change Control Management Plan will apply to the following types of changes:

- Any change of project scope or unplanned activity not explicitly within the scope of the current base-lined work plan
- Any change to the base-lined project plan
- Modifications to approved (signed-off) project deliverables except where the deliverable has a suspected fault (e.g., where factual errors are subsequently discovered in an approved document)

4.4.a.xxii Information Security Plan

SOW 8.1 Planning: *17. Information Security Plan*

The primary goals of the Geographic Solutions Information Security Plan are to:

- Ensure the security and confidentiality of covered data and information
- Protect against anticipated threats or hazards to the security or integrity of such information

- Protect against unauthorized access to or use of covered data and information that could result in substantial harm or inconvenience to any customer

This Information Security Plan also provides for mechanisms to:

- Identify and assess the risks that may threaten covered data and information maintained
- Develop written policies and procedures to manage and control these risks
- Implement and review the plan, through, among other measures, an internal audit of all security measures
- Adjust the plan to reflect changes in technology, the sensitivity of covered data and information, and internal and external threats to information security

Best practices includes setting specific security and business objectives in conjunction with other management processes and implement appropriate information security controls and periodically monitor and improve the controls to meet the UC Modernization Project's security and business objectives.

On June 22, 2010, Geographic Solutions received a clean auditor's opinion with no qualifications after successfully completing a SAS 70 audit. A SAS 70 Audit provides independent 3rd party assurance by a licensed CPA firm that activities described by a service organization are suitably designed to meet specified control objectives. Controls that were used for our SAS 70 audit totaled 136 controls that were broken into seven major areas – Control Environment (24), Physical Security (12), Environmental Security (10), Computer Operations (30), Information Security (34), Application Change Control (70), and Data Communications (19).

Our Information Security Plan promotes the protection of the confidentiality, integrity, availability, and accountability of covered Information. In addition to this Plan, other policies on data confidentiality and safeguarding may apply to specific data, computers, computer systems, or networks. This Plan applies to everyone who uses, maintains, or manages business processes which involve covered information.

4.4.a.xxiii Conflict Resolution Plan

SOW 8.1 Planning: *18. Conflict Resolution Plan*

The potential for conflict in information systems development projects is usually high because it involves individuals from different backgrounds and orientations working together to complete complex tasks. The cause of conflict in team projects can be related to differences in values, attitudes, needs, expectations, perceptions, resources, and personalities.

The internal characteristics of conflict include perception of the goal, perception of others, view of the other's actions, definition of problem, communication, and internal group dynamics. The general outline for our Conflict Resolution Plan is the following:

- Identification of the Conflict Domain
- Exercise of Judgment
- Analysis of the Results
- Negotiation Among Conflicting Parties to Resolution

Geographic Solutions uses conflict resolution techniques such as Active Listening and features of Cognitive Feedback to confront conflict, negotiate among conflicting parties, and work toward a common understanding and an acceptable, winning resolution.

4.4.b Outline of the Project Management Plan Sub-Components

Requirement: ***4.4 (line 3):*** *Provide an outline of the proposed Project Management Plan including sub-components.*

4.5 Proposed Project Schedule Details (MS Project Plan)

The following pages contain the proposed project plan, indicating details including task names, work hours, durations, start and finish dates.

5 Proposed Solution

***Requirement**: Tab 5 - The proposed approach will be evaluated based on responses to the following key business functions: Claims, Appeals, Benefit Payment Control, and Adjudication.*

5.1 Solution Overview

Note: *See Appendix 9.1 for larger screen images and additional images for multi-page forms***.**

5.1.a Detailed Overview of Proposed Solution

***Requirement 5.1.a:** Provide a detailed overview of the proposed solution. In order to facilitate the evaluation of the responses, responses shall be organized to align with the following key business functions:*

- *Claims, which includes: Initial and Continuing Claims, Wage Determination, Short Time Compensation (STC), Trade Readjustment Act (TRA), Disaster Unemployment Assistance (DUA), Special Payments, Customer Information Requests, Audit, Federal Reporting and Workforce;*
- *Appeals;*
- *Benefit Payment Control; and*
- *Adjudication, which includes Adjudication and Employer Chargeability.*

Geographic Solutions® is proposing that the new Florida Unemployment Compensation Claims and Benefits Information System (UCCBIS) be constructed using a set of core proprietary software components created by Geographic Solutions known as the Geographic Solutions Unemployment System (GUS). The system operates as a dynamic portal and operating system for claimants, employers, training providers and staff, supporting the goals of AWI for a state-of-the art solution to its current challenges.

GUS is a comprehensive solution for providing unemployment compensation claims and benefits and is ideally suited to providing the functional and technological requirements defined in the ITN, including Claims, Appeals, Benefit Payment Control, and Adjudication. This functionality is outlined in detail in the next section.

The GUS solution is a completely Web-based system. The system will be hosted at the State of Florida's Southwood Shared Resource Center (SSRC) and can be accessed in the numerous AWI offices and centers, OneStop office locations and resource rooms, and throughout Florida or from any other location via the Internet. The system requires only that client workstations have an Internet/Intranet connection and a Web browser. All of the claimant and employer self-service features, as well as all of the staff-assisted features and case management functions, are available through the Internet. The system provides basic access and improved assistance to claimants and employers via the Internet.

GUS is Web-based, uses n-tier system architecture, and can be easily modified to meet the requirements set forth by AWI. New or existing Web components can be added to support the requirements defined by AWI, its partners, and businesses interacting with these agencies. GUS not only supports Florida's specific functional requirements but also provides a proven technology with a large user community and a user-friendly interface that improves customer satisfaction and the overall performance of the Agency.

GUS is a sub-system of the industry-leading Virtual OneStop Software Component Library and is a commercial-off-the-shelf (COTS) software solution that is easily implemented in a short timeline. This system is built on existing, proven technology currently used by states across the country. Building the UCCBIS from GUS components offers significant advantages over building a "ground-up" solution or attempting to adapt another state's solution. System deployment is rapid because the components are pre-built; risks are mitigated because the components have already been developed and tested; and the components are modular and easily added to or modified.

Geographic Solutions is proposing a system that is completely integrated with Employ Florida Marketplace (EFM). These systems will directly access the same database and the new GUS technology includes the functionality for employers, jobseekers, and staff currently provided by EFM. This has significant advantages for the overall efficiency of the Florida workforce system.

The following sections provide a detailed overview of the functionality of proposed solution:

5.1.a.i Claims – Initial Claims

GUS is designed to accommodate any of four different methods of filing an initial claim for unemployment compensation. These are:

1. **Internet Claims:** The claimant may file over the Internet utilizing the new GUS application. The preferred method of data collection is for the claimant to file the claim via the Internet. Claims taken using this option require less staff time and the claimant can complete the application at their own speed. If they are filing the claim on their home computer, the claimant should also have all of the necessary information needed to file a claim. GUS is designed to provide "no touch" claims, and filing the initial claim via Internet is the most effective method of accomplishing this goal.

2. **Telephone Claims:** The claimant can talk to a live call center claims taker and the information is entered by the agent. Staff-assisted claims taken in the call centers are likely to continue as a method of filing a claim. Many claimants feel more comfortable speaking with a claims agent who can guide them through the process. The same comfort level is not always evident with Internet applications.

3. **IVR Unit:** The claim can initially be taken via an Interactive Voice Response (IVR) unit using the IVR technology included in this proposal. Claims taken solely by the IVR can be problematic, despite the utilization of the most up-to-date voice/speech recognition software that we are proposing. This method is not always perfect and claimants may opt out of this method in favor of speaking to a live agent.

4. **Mailed Claims -** The claimant can mail in their application and have it entered by Florida AWI staff. The most staff intensive method of filing a claim are paper forms completed and mailed to AWI. Call center claims and Internet claims should be by far the most utilized methods for filing a claim.

In the GUS Internet application, after a claimant establishes a user name and password, the system utilizes all available databases to extract pertinent data and pre-populate it into the application. As it is proposed that GUS share data with the Employ Florida Marketplace (EFM) database, information is available to anyone who has previously registered in EFM and conducted job searches. All of the user's personal information – such as name, address, phone number, etc. – is pre-populated for ease of completion for the claimant. A link to Department of Motor Vehicle records provides as another source of information that can advance the claims taking process.

The GUS initial claim forms include all of the information needed by the Department of Labor and the Bureau of Labor Statistics for federal reporting as a complete and countable claim. It also collects all of the information required for a full workforce registration.

Basic claims and registration information is gathered through a user-friendly application process. These items include name, address, demographic information, work history, etc. The initial claims processing system includes intelligent business rule checks throughout. As one example, an answer indicating you are not a citizen generates an issue flag that must be addressed. At the end of the application process, the claimant is presented in real time with several different pieces of information. The first piece of information is the claimant's preliminary monetary entitlement to benefits. The system collects all available Florida wage records in the base period and displays them to the claimant. From those wage records, the claimant's potential weekly benefit amount and the total available credits are calculated and presented to the claimant. If Florida base period wages, federal military or civilian wages, or wages from another state are missing, they need to be requested. A staff member can ascertain what steps need to be taken, and start the monetary redetermination process.

The claimant is also informed of any answers that have created issues. Are they non-citizens? Are they receiving a pension? Some of these issues can be resolved with additional information from the claimant. Others require investigation. Many issues can be resolved with a simple entry and a case note explaining the basis for the resolution.

At the end of the new claim application, the claimant is immediately presented with a list of current job openings in real time. These jobs are relevant to the claimant's work history, occupation and zip code. The claimant is exposed to these opportunities and encouraged to look into them immediately.

One of Florida's goals is to have "no touch" claims that become a part of the system without any intervention from a staff member. Whenever there is an Internet claim that has no issues to resolve by a staff member,

these claims go directly to the system and are ready for payment as soon as the claimant certifies their first two weeks.

The call center solution is much the same as the Internet process except the personal contact with an agent allows more potential issues to be cleared before the claim is finished. It also allows for Interstate Connection (ICON) screens to be completed and options explained while the claimant is on the phone. The call center solution also allows for fact-finding interviews to be scheduled while the claimant is on the phone. The same functionality of real-time monetary determinations and job listings are available in the call center application.

Florida's Interstate Liable Claims Unit (filed by former Florida workers who have relocated) operates as a call center. Out-of-state callers dial directly into the Interstate Unit if they do not use the Internet to file their claims.

Claims can also be taken by the IVR if live agents are not available and the claimant has no access to a computer. The IVR asks all relevant questions and captures the responses through touch tone and speech recognition. The speech recognition, if not intelligible, may require some transcription and follow up calls to ensure the correct information has been gathered.

As a last resort, claimants may choose to download a paper version of the Florida claims application that can be completed and mailed to a designated address. Once received, the application is entered by a staff person to create a claim. This process is assisted by mass entering and indexing the paper claims through the proposed imaging technology.

Once the claim is established by one of the four methods of entry, GUS sends notifications to interested parties. A monetary determination is sent to the claimant detailing their base period wages and monetary entitlements. A UCB-412, Determination Notice of Unemployment Compensation Claim Filed, is sent to all base period employers and the last employer to pay the claimant seventeen times his weekly benefit amount if that employer is not in the base period. The UCB-412 includes the percentage of charges each employer is responsible for if the claimant receives benefits.

5.1.a.ii Claims – Continuing Claims

GUS processes continued claims by any of three methods. These are:

- The claimant may file their bi-weekly certifications over the Internet utilizing the new GUS application.
- The bi-weekly certifications can initially be taken through the IVR system.
- The claimant can call into a call center and speak to a claims taker.
- The claimant can mail their weekly certifications and have them entered by Agency staff.

When the Internet application is used, the claimant answers the appropriate questions about availability and earnings. When the claimant enters work contacts for the affected week, the claimant has a distinct advantage with GUS. If the claimant has made application for work through EFM for the week, GUS populates those fields with the names of the employers for which applications were submitted. If the claimant has made the required number of contacts for the week through EFM, they need not enter any additional information.

Claimants choosing to use the IVR have the same advantage of having GUS populate their job search activities with EFM data. Staff-entered certifications contain necessary data as required to make a payment.

In some cases, answers to certain questions generate issues for claimants. If the claimant says they are no longer able to work or available for work, an issue is created and no payment is made until that issue is resolved.

Barring any active issues or disqualifications, a payment is made to the claimant for one or both weeks. If there are two weeks being paid, they are both paid in a single payment. GUS supports the payment being made by check, direct deposit, or debit card. The expectation is that Florida will have entered into an agreement with a debit card provider by the time GUS is implemented. It is expected that the paper check option will no longer take place. If check writing is still an allowable method, GUS can fully support it.

GUS displays all earnings or other deductible income that could influence the amount of each payment. The date of issue, check or transaction number, and the amount of payment is also displayed. If overpayments exist and the benefits are used to offset the overpaid amount, the system reflects that. If changes in the record result in an adjustment payment, that is displayed as well.

Eligibility Reviews are a part of the Continuing Claims process. GUS contains a scheduling module that enables all claimants to be called in to assess their continued eligibility to receive benefits. The scheduling module also allows individual claimants to be contacted if the decision is made not to interview all claimants.

5.1.a.iii Claims – Wage Determinations

The initial wage determination is made in GUS by simply accessing the available base period Florida wage records under the claimant's Social Security number. These wage records and the accompanying employer name and account number are attached to the claim by the appropriate quarter in which they were earned. Using the Florida rules for monetary eligibility, GUS automatically determines what, if any, weekly and maximum monetary entitlement the claimant has. It also calculates each base period employer's percentage of the total base period wages that correspond to the potential liability of each employer. Monetary determinations are sent to all base period employers to provide them an opportunity to explain the claimant's separation and/or have charges removed.

Wages that are not shown on the claimant's original determination are those wages from federal agencies, the military or other states. These wages must be requested by GUS through the ICON system. Staff members have ICON panels to enter the information to assign these types of wages. When those responses are received from ICON, the wages and employers are added to the system and a redetermination is generated without staff intervention. If a combined wage request results in the claimant having options where to file their claim, a work item is created so that the claimant's options can be fully explained.

If the claimant contends wages are missing and a redetermination request is made, an investigation is conducted to see if there are additional wages. If none are found, a notice is mailed to the claimant. If wages are found and added to the claim, a monetary redetermination is generated and mailed to all base period employers to alert them to the new percentages of base period wages.

Similarly, incorrect wage records are investigated. If those wages are removed, a redetermination is generated and sent to all interested parties.

While many wage determination processes require no staff intervention, others do and the Wage Determination Unit staff have full functionality to add, delete, and modify wages on any claim. GUS always displays the current amounts, but it is possible to identify previous determinations.

5.1.a.iv Claims – Short Time Compensation

The Short Time Compensation Program (STC) is used by employers to maintain their staff in lieu of laying them off for a period of time. The intent of the program is to reduce the employee's hours of work (between 10 and 40 percent) and still provide some unemployment benefits for each week their hours are reduced. Employers submit STC plans to the STC Coordinator in Tallahassee. The plan must be completed on the AWI website and transmitted electronically. These plans include the planned participants and the expected reduction in their hours of work. GUS maintains a table of participants by employer and the employer can add or delete employees from this table electronically.

If leasing companies or collective bargaining agents are involved, staff can have GUS send notifications to these organizations for approval, and to provide information about the STC program. GUS tracks the notifications to ensure they are returned in a timely fashion.

Once the plan is approved by the STC Coordinator, GUS generates a notice to the employer. The employer notifies their employees they are now able to file a new claim for benefits. The employees utilize the GUS Internet claims application to file their claims. GUS identifies the worker as an STC worker and establishes a claim. If there are any issues such as citizenship, pension, etc., that need to be addressed, work items are created for AWI staff to resolve.

When weekly/bi-weekly certifications are submitted by the employer, GUS records the hours worked by the claimant for the week and the claimant's normal hours to calculate the percentage of unemployment that should be paid. These bi-weekly certifications are transmitted electronically. If the percentage is not in the range of 10 to 40 percent, a high priority work item is created by GUS for the STC Coordinator to handle. The employer is also notified of the issue.

The claimant is required to access GUS every two weeks to verify the hours reported by the employer. Claimants indicate agreement with reported hours in the system. Claimants also report any earnings from a second job and the claim is submitted for payment. Claimants who do not agree with the reported hours can

dispute them through the system, and a high priority work item is created and sent to the STC Coordinator for reconciliation. After reconciling the issue and collecting the correct information, the STC Coordinator can make any necessary changes in GUS and resubmit the claim for payment.

The claimant can also submit hours of work prior to the employer's submission. If this occurs, GUS stores the worker-reported hours until the employer submits the same number of hours for the week, or reconciliation is done to determine the proper payment amount.

The claimant can also mail in their certification. If it is received after the employer has reported the worker's earnings, the STC Unit verifies the hours and submits the claim for payment. If it is received prior to the employer submitting the work hours, GUS stores the hours until a report is received from the employer. Once the hours have been verified or reconciled, the claim is submitted for payment.

After considering earnings and other deductible income, GUS issues a payment. The payment is recorded in the payments area of the claim record. GUS tracks the STC claim to ensure that a maximum of 26 weeks of STC are compensated. If that limit is met and the next certification exceeds the limit, a notice is automatically generated to the claimant and to the employer regarding the week limits.

Agency staff members have the ability to access GUS and change the designation from an STC to a regular claim whenever a claimant is separated from an STC employer, or at the conclusion of 26 weeks of entitlement. Once the designation is changed, the claimant is able to file a regular claim for benefits through GUS. If eligible from the additional claim, the claimant files their bi-weekly claims in the customary manner.

5.1.a.v Claims – Trade Readjustment Act

The Trade Adjustment Act (TAA) provides for additional payment assistance to workers who have been displaced due to shifting the production of a product to a foreign country, outsourcing the services to a foreign country, or the increase of imports of articles or services. Impacted workers may be entitled to benefits above and beyond their regular UC entitlement. TAA provides for two kinds of benefit payments: Trade Readjustment Allowances (TRA) and Reemployment Trade Adjustment Assistance (RTAA). While both of these payments are tied to a UC claim, GUS includes a sub-system within the Claims tab that handles all this functionality and ties into the portion of TAA handled within the OneStop through the EFM site.

Trade Act petitions can be made by various entities, but they are ultimately approved by the U.S. Department of Labor. Once the petition is approved, AWI is informed of the petition number and other pertinent information. The TRA Coordinator enters the petition information into GUS. This entry generates a press release, which the TRA Coordinator can update, personalize, and release to comply with the federal requirement of public notification.

The TRA Coordinator contacts the separating employer to request a list of affected employees covered by the petition. The TRA Coordinator can also take advantage of the integration with GUS by searching the database of registered job seekers to find those with relevant employment history. Once the list is acquired, the relevant information is transferred into a data table of potential trade claimants. GUS then generates a notice to these individuals explaining the steps required to file a TAA claim.

After receiving notification, the claimant can apply for TRA or RTAA benefits (ATAA if an old petition). This application can be completed online using GUS. Once all of the relevant information is entered, GUS automatically determines eligibility. The claimant is notified of the eligibility determination through the GUS Communications Center using an internal message, fax, mail, or email.

TRA eligibility is conditioned by either the claimant being enrolled in a training program, or having a training waiver. Waivers are granted by case workers in the OneStop Center. These waivers must be signed by the claimant and imaged by the system for future reference. Waivers are for a specific period of time and can be updated by the OneStop Center staff. The GUS advantage is that it is an integrated solution that is directly accessing the same database as EFM. This allows the TRA staff in the UC program using GUS to view details of the enrollment information as well as any waiver data. GUS eliminates any duplication of data entry between Trade Act staff in the OneStop and the UC program.

Verification of training enrollment is submitted by the educational institution. It is also imaged for future reference. If the TRA participant does not have a waiver and is enrolled in training, the educational institution must periodically verify his enrollment and progress. That verification must be received by AWI to continue issuing TRA payments to the claimant. It must be imaged and retrievable for future reference. Another unique

feature of GUS is that a portal is provided for education training providers to enter this verification information online.

RTAA participants must provide proof of payment biweekly in order to determine their proper payment amount. These paystubs are also imaged by the system and made available for future reference.

In addition to performing the customary functions of a benefit system such as taking claims, issuing determinations, and making payments, the GUS TRA sub-system can perform other unique functions. One of those is to gather claimant information and transmit it to the Internal Revenue Service should the claimant qualify for the Health Care Tax Credit (HCTC). HCTC is a valuable program to those who need assistance in paying for health insurance.

Another function provided by GUS is the filing of test claims at the end of the claimant's benefit year and at each change of quarter as the claimant continues to file his TRA/RTAA claim. The test claims are necessary since claimants who are eligible for regular UC benefits do not qualify for TRA/RTAA benefits. Whenever a claimant has sufficient base period wage credits to qualify for a new benefit year, GUS determines whether or not the claimant is eligible to continue to receive TRA/RTAA. GUS can file test claims and create work items whenever someone has enough wage credits to qualify for a new benefit year.

TRA/RTAA programs also adhere to strict timeframes for application filing and enrollments. GUS calculates those dates and determines if the deadlines have been met. A failure to meet the deadlines results in a work item being created in GUS.

The TRA/RTAA payment system issues payments and records payment activity just as the regular payment system does. Payment amounts, check/transaction numbers, offsets, etc., are handled like regular payments.

5.1.a.vi Claims – Disaster Unemployment Assistance

Disaster Unemployment Assistance (DUA) benefits are available to states when individuals lose their jobs as a direct result of a major disaster. The President issues an Individual Assistance Declaration (IAD) whenever circumstances warrant. The declaration spells out the areas impacted by the declaration. The IAD also contains a defined time period covered by the disaster. Typically, this is a 26-week period.

This declaration is received by AWI. One of AWI's first responsibilities is to issue a press release informing the public of the affected areas (state/counties) and the corresponding dates of the disaster declaration. Once the declaration is entered by the DUA Administrator into the system, GUS's *Communications Center* generates a preliminary press release. This release can be verified and edited before it is released to media outlets. From a GUS-stored template, the DUA Coordinator can complete the DUA Fact Sheet.

The GUS claim application contains a question asking if the worker's application is a direct result of a major disaster. A positive answer results in the applicant specifying their reason for not working. DUA benefits are paid only if the affected claimant does not have sufficient wage credits to establish a regular UC claim. If the claimant is not eligible for benefits under any other program (UC/TRA), they may be eligible for DUA. Either way, GUS designates the claim as either DUA or DUA related.

If the claimant does not qualify for regular benefits, they may apply for DUA benefits. GUS provides an online DUA application to determine eligibility. Eligibility for DUA is contingent on providing adequate self-employment and loss of wage documentation, and providing proof within prescribed timeframes. GUS contains a method to track the compliance of DUA applications and verification of income.

Once the claimant's income is verified and their qualifications met, GUS displays a panel where the wages can be entered and a DUA monetary entitlement determined. The method for calculating the Weekly Allowance Amount (WAA) is handled automatically by GUS. The entry of wages triggers the calculation to occur and the WAA is determined by the system.

DUA-related claimants who are eligible for UC benefits receive a regular determination of eligibility generated by GUS. True DUA claimants receive DUA-specific determinations of eligibility or denial generated automatically by the system.

If the WAA calculation does not meet the minimum entitlement amount, GUS applies the minimum WAA amount. Bi-weekly payments are certified and made through the normal payment system. All bi-weekly certifications are completed through the IVR or the Internet bi-weekly claim certification system in GUS.

The claim designation as DUA or DUA-related and the internal program code for DUA enables the DARIS reports to be completed along with any other required federal reports.

5.1.a.vii Claims – Special Payments

Weekly/bi-weekly certifications are processed through the GUS system either by the IVR process or the Internet certification process. The requisite eligibility questions are asked and the answers to those questions stored in the system. If the claimant has earnings in the week claimed, they are entered into the system. If the claimant is required to perform a job search each week, employment locations where they have sought work are entered and stored. If the claimant has used EFM to perform their job search each week, the employers they have contacted are pre-populated on the certification.

At the filing of the initial claim, GUS creates two "open segments" the claimant can complete as soon as the week ending dates have passed. When those weeks are certified, two more "open segments" are created for the succeeding weeks. While all weeks can be entered, not all weeks are paid. No payments are made for the waiting week in each benefit year. No payments are issued if there are unresolved issues on the claim. No payments are made for weeks of disqualification. No payments are made if the claimant's earnings and other deductible income for the week exceed their weekly benefit amount.

All weeks are certified and entered into GUS. Some answers to the certification questions result in an issue being created. In the event that additional wages are found and added to the claim that make it monetarily eligible, GUS looks to see what weeks have been claimed and now need compensation. Similarly, a claimant in appeal status files their weeks for each bi-weekly period and remain current. If the appeal allows previously disqualified weeks, the claimant is paid by GUS for all weeks claimed.

The following conditions cause GUS to reevaluate the claim and determine which, if any, weeks need to be paid, adjusted, or held as overpaid:

1. The addition, deletion, or modification of base period wages
2. The addition, deletion, or modification of weekly wages or other deductible income reported
3. The resolution of any issue
4. The reconsideration of any non-monetary determination or appeal reversal/modification

GUS also allows staff to enter individual weeks for payment as well as the payment of "out of sequence" weeks that may have been missed.

GUS generates automated notices to claimants if their certifications are not paid and explains the reason why. It does not generate notices to individuals who receive payments.

Returned Warrants occur primarily when claimants have supplied incorrect or incomplete addresses or they have moved and not changed their address in the system. When warrants are returned, a staff member of the Special Payments Unit must verify the address. If the address has been changed, the warrant is re-sent by the system using the updated address.

If the address is the same as the current system address, the Special Payments Unit does two things:

1. Scan the envelope and check.
2. Enter the warrant number into GUS, which associates the warrant with the correct claimant.

GUS creates an issue on the claim to prevent future payments as well as creates a transaction to cancel the warrant. GUS also contains information about the last date an address was changed. That information can be used to compare warrant issue dates and to see if the warrant should be cancelled or re-mailed.

Cancelled warrants are kept for 14 days before they are shredded. When the claimant has supplied the Agency with a current/correct address, the check is reissued and mailed to the correct location.

Electronic Funds Transfer (EFT) is used instead of paper warrants for those claimants who prefer to have their benefits directly deposited into a checking/savings account or loaded into an agency-issued prepaid debit card. Banking and mailing fees are forcing states to offer only direct deposit and debit cards as viable payment methods.

When initial claims are filed, claimants are asked to make their choice of payment options. If direct deposit is selected, the claimant must provide a bank account and routing number and designate whether it is a checking or savings account. That information is stored in GUS but is never accessible except to those staff members with the highest security accesses. It is not routinely available to staff.

GUS easily handles EFT transactions. Whenever a claimant chooses EFT as their payment method, GUS creates an EFT transaction file to be transmitted to the Agency servicing bank for direct deposit and, if different, the debit card financial institution. GUS records the transaction number for the payment being transmitted and the date of transmission or creation.

GUS can create “pre-note” files for those choosing direct deposit as their option. Barring a negative response from the financial institution, all payments are ready for deposit into the designated account. The transaction file is sent to the servicing bank. It strips off the accounts for its customers and then distributes the remainder through the banking clearing house to the appropriate institution.

Debit card transactions go to the debit card bank for processing onto the card. If the servicing bank and debit card bank are the same, there is only one file with both direct deposit and debit card transactions.

Returned transactions are returned with the funds that were transferred. Those returns are uploaded to GUS. GUS cancels the payment and reissues the claimant a check until it can be demonstrated that a proper account exists.

A claimant’s choice of payments can be changed only twice in a benefit year through the Internet or IVR.

Duplicate Affidavits are used when original warrants are not cashed and the claimant wants the payment reissued. The claimant is able to request the reissuance through GUS’s client dashboard. The warrant number and issue date are required to conduct the proper search for the warrant.

If the warrant has been cashed, it is necessary to issue a Forgery Packet to determine if it is the claimant’s signature or that of someone else. A copy of the warrant and the endorsement needs to be retrieved from the imaged warrant files. If the claimant did indeed sign the check, the issue is resolved. If the warrant was forged, the warrant is cancelled and a new payment reissued. An investigation is opened to determine whose forged signature it is and to decide what legal steps are necessary to recover the money.

GUS interfaces with the Florida Accounting Information Resource (FLAIR) to keep the claimant apprised of the status of the investigation.

It is necessary for GUS to issue **Forgery Packets** when there is suspicion of a forged endorsement on an issued and cashed warrant. The claimant is able to request a forgery packet through the GUS website. The claimant is also shown a copy of the endorsed warrant for comparison. If it is not his, the claimant must complete and have notarized the fact that it is not their signature. The Florida Department of Financial Services (DFS) and AWI will perform the necessary steps to determine the validity of the signature. In cases of forged endorsements, the warrant is cancelled and reissued to the claimant.

When a claimant dies before receiving, endorsing, and/or cashing all of his benefit payments, his beneficiary may be entitled to receive those monies. A **Beneficiary Affidavit** is required in order to accomplish this.

The beneficiary is able to complete a request online or download the packet of information necessary to step through this process. The packet explains the required information, such as a death certificate, some proof of entitlement, and proof of identity.

GUS provides an entry for adding a beneficiary name and address. When all the proper documentation has been presented, the beneficiary name and address is entered. The warrant(s) is cancelled and reissued to the beneficiary and mailed to the appropriate address.

At the end of each tax year, AWI issues a statement of benefits paid for the calendar year. It also issues a statement of overpayment activity for the year. Since UC benefits are taxable, this information is necessary for the completion of any tax return. Quite often this information is lost in the mail, sent to an old address, or not received on time for the claimant to complete his taxes. In those cases, **Duplicate 1099/49T** forms are requested.

The GUS website contains an area where the claimant can request a duplicate form and to designate an address where the form is to be mailed.

The 1099 and 49T information is available online from GUS for tax form completion and displays in a template that can be printed. If it is preferred that it be mailed, it can be printed by AWI and mailed the following day. Questions about the amounts shown on the form can be directed to the information call center or a work item can be created and put in workflow to be directed to someone who can address any perceived discrepancy.

Returned Wage Determinations indicate a problem with the claimant's mailing address in the system. Correct addresses are obviously critical for ensuring that payments and other important documents are sent to the proper address.

When wage determinations are returned by the U.S. Postal Service, GUS provides a screen to enter a claimant identification number. The postal center employee can compare the system address with the form address. If the address has been changed in the system since it was mailed, staff can request that it be re-mailed to the updated address.

If there is no updated address, an entry is made that creates an issue. This issue ensures that no further payments are made until a corrected address is obtained.

Counterfeit Warrants have become a significant problem with the technological advancements in personal printers and desktop graphics software. GUS data is used to determine when warrants are legitimate. AWI will work with DFS to investigate the occurrence of counterfeit warrants.

Child Support deductions are made whenever a court orders those payments to be withheld from a claimant's payment amount. The Florida Department of Revenue (DOR) notifies AWI whenever child support is to be withheld, the percentage to be taken each week, and the effective date. Whenever possible, this data is downloaded and entered into the claim. GUS also has an entry field where the child support percentage can be manually entered and updated.

Before any payment is made, GUS calculates the amount of child support to be deducted. That amount is recorded in GUS and displayed for each week affected by the withholding. These withholding amounts are totaled and submitted to DOR at some designated interval. DOR is responsible for directing the funds to the Family Courts.

5.1.a.viii Claims – Customer Information Requests

AWI receives a tremendous amount of requests for information, running the gamut from basic requests about how to file a claim to legally challenging requests for information that is protected by statute.

GUS, through its portal and dashboards, provides a wide array of information at the user's fingertips. Claimants can access more of their claims-related information than ever before. They are able to maintain their claim by changing data such as addresses, phone numbers, payment options, etc., without staff intervention. Their payment histories, active issues, appeal data, etc., are always available for inquiry. Employers also have access to all information about claimants who are receiving benefits charged to their account. The range of available information is only limited by what AWI deems appropriate to provide.

GUS also allows questions needing staff assistance to have a work item created that is routed to a customer service agent for handling.

The GUS Communications Center permits information to be sent to the customer via any one of the following methods:

- An Internal Message on the System
- Email
- Text Message
- Mail – Letters can be printed to a local printer or bulk mailing system
- Fax – Handled digitally via a fax server

The staff member can choose the methods to send the communication and can also use the system's communication templates and standard forms to create messages, letters and notifications.

Confidential records can be requested from any of the three different groups. Some information can be released to the requesting party without the claimant's authorization, redaction, or cost. Many agencies already have agreements with AWI to provide this information.

Other information can be released only with the claimant's authorization and after certain information has been redacted. This level of information must be verified prior to release and cannot be released without reimbursement. Some information may be released to the claimant for sharing with the appropriate mortgage holders, credit issuers, or landlords. The information is redacted to hide any privileged information.

The AWI Records Custodian (AWI-RC) determines where these requests fall. For the release of records that require reimbursement, GUS helps collect the data, calculate the reimbursement costs, prepare the invoice, and helps track the receipt of these monies.

5.1.a.ix Claims - Audits

The U.S. DOL requires quality control audits to be conducted on various types of UC data. These audits must be reported to DOL on required intervals. These programs detail the accuracy of benefit payments to ensure that each state meets the minimum federally required standards. Together they represent a barometer of state performance.

Benefit Accuracy Measurement (BAM) is a federally mandated program that assesses the accuracy of UC payments made to claimants and the accuracy of benefits denied to them. BAM uses a random sample of claims drawn each week. A thorough review of the claim reveals whether the claim has been taken or denied appropriately. Shortcomings in these areas result in states having “error rates” which reflect on the capability of the agency, potentially leading to corrective action. Florida typically selects 480 paid claims and 450 denied claims each year as their random sample of claims.

GUS uses AWI-configured data to select the BAM samples. It also has a scheduling component where the case can be assigned to a specific investigator. GUS gathers the appropriate documents for the investigator to use. After the case is reviewed, the outcome of the investigation is recorded in GUS for completion of the federal report.

Benefits Timeliness and Quality (BTQ) is another federal report that captures the effectiveness of the non-monetary determination process. BTQ ascertains not only if timely determinations are issued, but also if they are done correctly. This quarterly report is critical in determining how well a state is performing in the non-monetary determination area.

GUS uses AWI guidelines in selecting the sample of claims to be used. It collects the necessary documents that the investigator needs to conduct the review. The system assigns an investigator or has the investigator select the work item from a queue. After the claim is reviewed and scored, the results are entered in GUS. Those results eventually comprise the data for the ETA 9056 report.

AWI itself conducts **Non-Monetary Reviews** for its adjudicators to assess the quality of their performance. This assessment lets AWI determine where the adjudicators need training or assistance. Poorly performing adjudicators can be trained and monitored for improvement.

GUS uses AWI criteria to select the claims from certain adjudicators so they can be reviewed and evaluated. It assembles the necessary forms for the reviewer to examine to insure that the proper policies and procedures are being followed. It allows entry of the results of the evaluation.

UC programs are funded on the number of workload items a state processes each year. Vital economic and labor statistics also come from these counts. The states report these numbers to DOL and receive the appropriate funding. To insure that states are counting these workload items properly, DOL implemented **Data Validation**.

Typically, states are required to validate reported data every three years unless there are problems that require more frequent validation. DOL requires the validation of data in 15 different populations, each of which may have subpopulations.

GUS uses AWI-defined criteria to download the data that must be reviewed by a staff member. The results of the data validation are uploaded for the federal report. The results can have an impact on the corrective action plans, if any, that are needed for the State Quality Service Plan (SQSP).

5.1.a.x Claims – Federal Reporting

The UC Program reports a high volume of data. This data is used by DOL to assess the performance of a state and by other agencies in federal and state government for economic and workforce reasons. These federal reports are vital for the overall performance of the program. In the GUS *Reports Module,* monthly and quarterly federal reports such as the *ETA 5159 Claims & Payment Activities* and *ETA 207-Nonmonetary Determinations Activities*, are generated at the touch of a button. The system generates all 34 federal reports this way.

The GUS relational database allows data to be reported in the appropriate time frames for completion of the reports. GUS is also very flexible and easily lends itself to preparing ad hoc reports for agency management or the legislature.

5.1.a.xi Claims – Workforce

One of the most advantageous features of the proposed GUS solution is that it shares key database tables with Employ Florida Marketplace (EFM). GUS contains all of the workforce information contained in EFM. It is good public policy that claimants return to work as soon as possible. This reemployment is good for the economy, impacts the UC trust fund, and keeps employer taxes low.

GUS presents potential jobs to claimants at the time of filing and any other times that the claimant may access the system. This readily available job information is useful in steering the claimant back to full employment.

As an integrated system, GUS includes an extensive and sophisticated array of job searching and matching functions that allow flexibility and power in the claimant's ability to conduct effective job searches based on skills, experience, location, and other relevant criteria, including the ability to have results e-mailed to them. As an integrated system, GUS also includes direct access to services currently provided by EFM that are designed to assist individuals in making career decisions, researching the labor market, choosing a career, and finding jobs and training opportunities.

5.1.a.xii Appeals

Appeals processing and tracking are vital components of a benefit system. It is important that appeals be completely integrated in any new benefit solution such as GUS. From the filing of the appeal to the final disposition in any court, GUS provides full functionality for the appeals process both for lower and higher authority appeals.

Any interested claimant or employer has the ability to file an appeal through the GUS website. The appeal request includes pertinent information about the determination being appealed, and the reason for the appeal. Subsequent screens allow the appellant to subpoena witnesses, notify AWI if they are represented by counsel, or if they need an interpreter. GUS can help determine if the appeal was filed on a timely basis.

The first function GUS performs after the receipt of an appeal is the collection of all pertinent documents about the case. Only through a thorough review of the case files does the referee or administrator have the ability to determine the timeliness of the claim. A review of the record may reveal that the claim needs to be remanded back to the Non-Monetary Unit for additional fact finding and a reconsideration of the issue. GUS records the status of the claim.

If the appeal is not timely, GUS can generate a dismissal letter. If it is timely, GUS provides the panels to allow the Referee or administrator to schedule the appeal hearing based on an estimated time for the appeal. Once all issues have been determined and the hearing has been scheduled, the referee or clerk can enter into GUS the addresses of attorneys, third party agents, or other interested parties that need to be notified of the date and time of the hearing. The claimant and employer are notified in all separation issues through the system. Only the claimant is notified in availability issues, and the Special Deputy determines who is notified in those administrative hearings. The notices detail the date and time of the hearing, the referee, the issues to be addressed and any other special instructions deemed appropriate by AWI.

Hearings may be rescheduled because of various issues. GUS has the ability to have the new hearing information generated and notifications sent to the interested parties.

Practically all appeal hearings are conducted over the telephone and are digitally recorded. The digital recording is stored in the GUS file. The referee has panels to record witness names, make notes, determine proper attorney fees, and determine any other fees that may be appropriate.

At the conclusion of the hearing, with all testimony collected, the referee is then ready to render a decision. In GUS, the referee has a template that contains both canned text and free form text options. The referee can

select from sections of the law that pertain to the issue. They also are able to freeform enter in the details of the case.

At the completion of the template, GUS generates a decision which can be reviewed for accuracy and acceptance. It can either be corrected, or submitted for processing and notification. It carries the digitized signature of the referee, the date of the decision, and the mail date of the document.

Dismissal decisions can be rescinded and a hearing granted if sufficient information warrants. GUS carries data indicating the rescission. The hearing can then be scheduled using the regular method of scheduling.

The Unemployment Appeals Commission (UAC) may remand referee decisions back for additional testimony or clarification of the facts in the matter. GUS notes the decision as being remanded and tracks it to see its disposition.

Parties can withdraw appeals prior to the hearing. The GUS website contains an option to complete or download a withdrawal form on the website. The completion of the form creates a work item that is routed to the Appeals Unit for handling. The entry of the withdrawal results in the decision being generated.

Usually, decisions are generated that require no corrections. However, if it comes to light that corrections are necessary, the referee has the ability to review the form and edit it in preparation for re-mailing.

AWI has contracted with DOR to hold the administrative hearings associated with the UC program. Those issues include protests of employer liability to pay taxes. These issues are handled by a special deputy. The special deputy uses the same functionality as other referees in GUS to schedule hearings and generate notices. The Special Deputy may want to invite several employees to participate as witnesses to get testimony on the employer's conditions of hire and work requirements. A copy of this decision must always go to DOR since it may determine if taxes are owed.

All appeals activity must be reported to DOL for workload and performance measurement. GUS provides all of the reporting requirements specified in the DOL ETA Handbook 401. GUS is able to provide all information needed to do State Self Evaluations, including select the sample of claims to be scored.

GUS is able to calculate case aging information for federal reporting purposes and any other performance measurement needed. GUS supports all federally required reports of appeals activity.

5.1.a.xiii Benefit Payment Control

The U.S. DOL has, in recent years, begun to emphasize the importance of detecting and recovering overpayments. Integrity programs have become very important in the overall performance of a state's UC system. The Benefit Payment Control (BPC) Unit is responsible for maintaining the overpayments created in the UC process. Overpayments usually are created by actions taken in the system, such as entering previously unreported deductible income, applying disqualifications on paid weeks, etc. However, there is also the option of entering overpayments manually if the need arises.

When overpayments are created, work items are generated and routed to the BPC unit. BPC staff analyzes the overpayment and classifies it for reporting purposes. BPC also collects overpayments that are not offset in the benefit system. These repayments come from many different sources. They come in checks, cash, and money orders. Data entry screens capture this data and apply the repayments to a claimant's debt.

BPC manages the claimant overpayments by deciding when prosecutions are necessary, determining if fraud has been committed, and deciding if the overpayment should be waived. GUS provides the data elements to enter all the relevant transactions to the overpayments to keep them in balance.

BPC investigates all discrepancies reported by comparing DOR wage records with payments received by the claimant. Whenever it is discovered that the claimant has wages reported in a quarter in which UC benefits were also received, a letter is sent by GUS to the reporting employer to specify the dates of employment for the claimant. BPC analyzes the responses to see if an overpayment occurred. GUS generates these letters and BPC, when appropriate, enters the unreported earnings. This creates an overpayment and sends the overpayment notice to the claimant. BPC determines if the overpayment meets the definition of fraud.

Overpayment reimbursements are received by BPC and applied to the appropriate overpayment. GUS Staff enter the repayments in GUS to keep track of the accounting of the overpayment. If too much

money is repaid, GUS generates a refund check to the claimant. GUS generates notices to claimants informing them of the amount applied to the overpayment and the resulting balance.

Whenever it is felt that there is a potential for an overpayment, GUS can create an issue that stops all payments until there is a resolution. Winnings from the Florida Lottery can be used to offset the claimant's overpayment. GUS interfaces with the Florida Lottery and those winners who have overpayments have their winnings held and sent to AWI to offset the overpayment. Work items are created for these occurrences and notices are generated to the claimant explaining that the winnings have been sent to BPC.

Employers are required by law to report any new hires they employ. The reports of this hire are eventually compiled into state and national new hire reports. The reports can be used to cross-match against the benefit files to see if newly-employed individuals continued to file claims for benefits. BPC staff investigates these hits by analyzing the claim and questioning both the claimant and employer. GUS generates notices to employers to ascertain when the claimant was employed. If unreported earnings are found, they can easily be added to the file and the appropriate overpayment is created. This culminates in a work item being created and routed to BPC.

Another audit that is utilized to detect questionable payments is to compare the addresses and phone numbers of all claimants to see if more than two of them are using the same address or phone number. GUS can perform this search and comparison and generate a list of those potential issues. An issue is created so that Agency staff can determine if there is a problem. If there is no issue, the stop is removed and payments continue. Where the issue is legitimate, this could result in a fraud determination and a disqualification.

In some cases, overpayments may be waived. This usually occurs when the overpayment is the result of Agency error and the claimant has some hardship in repaying the debt. Whenever this occurs, GUS satisfies the overpayment and notes the overpayment as being waived. The determination of whether or not to waive the overpayment is made by the BPC supervisor. It is recorded and counted properly by GUS.

Through the Interstate Reciprocal Overpayment Recovery Arrangement (IRORA) AWI acts as an agent for other states and collects their overpayment from claimants receiving Florida benefits. GUS allows BPC to enter the overpayment amount as reported by the overpaid state. Any benefits potentially paid are used to offset the overpayment amount. Those monies must be collected and transferred to the overpaid state. GUS records these transactions and keeps the claim in balance.

States have statutes of limitation for the collection of overpaid benefits. Whenever the state's statute of limitation has been reached and there is no activity on the claim, the overpayment is written off. GUS detects these overpayments and creates a work item for BPC. If there is no current activity on the claim, it is written off and noted similarly in GUS. The claimant is notified of this write-off.

AWI interfaces with the Florida Department of Health to obtain a record of deaths. Whenever there is a match of a claimant with a death certificate, a work item is created in GUS for BPC to address. The BPC staff investigates to see if a claimant received any benefits after the date of death. When hits are found, an issue is created in GUS so that no further payments can be made. Notices are generated and inquiries made as to the death of the claimant. Overpayments and prosecutions can result from the discovery of filing claims after the death of the claimant. Many of these potential overpayment questions are referred to the Investigations Unit. Work items are routed to the unit along with the case file to conduct an investigation.

Claimants can arrange to repay their overpayment on an installment plan approved by BPC. GUS records and tracks that activity. When payments are not made on a timely basis, demand notices are sent out to remind the claimant of their obligation to repay the debt. A continued failure to make restitution can result in a prosecution or referral to a collection agency.

BPC also has federal reports of activity that are very important and must be completed properly. GUS ensures that the ETA-227, Report of Overpayment Activities, is completed with the data elements in BPC. GUS also facilitates the creation of any ad hoc reports on overpayment activity that are requested by the agency or the legislature.

5.1.a.xiv Adjudication

GUS is designed to create issue records for a wide variety of reasons. These issues prevent any payments from being made until the issue is resolved and the payment is warranted. In the same manner, many issues result in disqualifications being imposed and all payments being denied.

The Adjudication Unit is responsible for the fact-finding and resolution of these issues. Each issue created results in a work item routed to the Adjudication Unit. The issues are distinguishable as separation or non-separation issues. Separation issues are placed in the **Potential Issues Tracking (PIT)** List. These issues are presented to the adjudicator so that fact finding interviews are scheduled and the root cause of the separation determined.

When fact finding interviews are conducted, GUS provides the adjudicator all of the documents available in the system to assist in the interview process. That includes the 412 Form and any supporting documentation provided by the employer. The adjudicator uses a fact finding template that allows claimant and employer statements to be added to the file. GUS has a feature that allows AWI to create fact-finding reports that contain the questions needed to be asked by the interviewer. This fact-finding report is imaged and retrievable at any time. If the fact-finding is suspended pending additional rebuttal information, it can be stored and recalled for completion.

After the adjudicator has conducted the interview and reached a decision, a separate panel is used to resolve the issue and render the decision. GUS contains “canned” text statements that can be used by the adjudicator to facilitate this process. The adjudicator can also personalize each determination if additional information needs to be conveyed. These determinations are then sent to the interested parties. When all issues are resolved, any pending payments are released.

A PIT list is also created by GUS and for all non-separation issues as well. These issues include availability for work, failure to search for work, and monetary issues that need to be reviewed and resolved. The resulting work item in GUS from any of these issues is routed to the appropriate queue. Many of these issues can be cleared by further discussions with the claimant and may not result in determinations being issued. However, when there is truly an issue, the adjudicator conducts the fact-finding and issues a determination similar to separation issues. Again, these fact-finding reports are available for retrieval at any time in GUS.

GUS is able to assist AWI in assessing the performance of the overall adjudication process as well as the performance of each adjudicator. By comparing issue detection dates and issue resolution dates, GUS can tell if the determination was issued on a timely basis. Similarly, by identifying each adjudicator, GUS can tell how many adjudications each interviewer is conducting and their individual performance.

GUS also provides some artificial intelligence in the fact-finding and adjudication process. This type of intelligent fact-finding lends itself more to non-separation issues. In some cases, the claimants are able to provide the information necessary to issue a determination.

[Secondary Proposal: GUS also supports the use of digital recordings in the fact-finding process in lieu of completing fact-finding templates. These recordings would relieve the interviewer from keying long statements from claimants or employers; they could use case notes instead. The use of digital recordings would also remove any doubt of what was said in the interview.**]**

One of the other responsibilities of the Adjudication Unit is to modify the issue when an appeal decision reverses or modifies a previous adjudicator’s decision. GUS has a panel for the modification of the specific issue that is appealed. If this modification results in the creation of an overpayment, a work item is routed to BPC alerting them of the overpayment.

Since Florida uses pro-rata base period charging methodology, it is important that only those charges that are appropriate be assessed to the employer. The Adjudication Unit reviews all 412 responses from employers to determine if charges should be relieved. GUS always contains all of the employer responses so that the adjudicator can make a quick, accurate decision. When relief of charges is warranted, the adjudicator simply uses the panel provided to indicate not to charge that employer.

Labor disputes occur from time to time and benefits should always be denied those workers who are part of the labor dispute while it is ongoing. GUS records the labor dispute issue for any claimant that states his reason for leaving is a labor dispute. Those claims can be handled through the regular fact- finding and adjudication process.

GUS also has the ability to enter labor dispute data in a mass form when the BPC investigator has accumulated the data of all the participants in the labor dispute. The entry of each striker's Social Security number and the employer account number results in the generation of a monetary determination to establish the claim and a non-monetary determination disqualifying the worker from receiving UC.

5.1.b Flexibility of Proposed Solution

Requirement 5.1.b: *Describe how the proposed solution provides flexibility in day-to-day operations.*

Legacy UC systems are notoriously inflexible, rigid and unforgiving. Data keyed incorrectly could, in some cases, not be corrected that day and incorrect payments or determinations are the result. GUS provides a great deal of flexibility in claims processing. The State does not have to create workarounds when it is necessary to make changes. Any number of changes can be made to the claim during the day and only the correct entry processes at the end of the day. This ensures that correct payments are made and that valuable staff time is not required to correct mistakes.

Another example of GUS's flexibility is the fact that Florida workers who have looked for jobs in Employ Florida Marketplace (EFM) are already familiar with the functionality of GUS. GUS uses the same methodology in maneuvering through the system and allowing the user to perform the functions that they need. This increased familiarity reduces the amount of training needed to effectively use the system.

Several States have used Geographic Solutions' systems as the basis for improving the efficiency of client flow through their offices to improve staff productivity and customer service. This new workflow reduced the amount of data entry required by case managers and improved overall efficiency.

The GUS system is very flexible and can operate in a variety of workflow configurations. As demonstrated above, the system can be adapted to changes that are introduced into the system to improve work flow either upon initial implementation, or later as business needs change.

GUS's flexibility is also shown in the amount and types of information that are available to claimants and employers. This much information has never before been available to users. Employers and claimants are able to get information that heretofore was only obtainable through talking to a staff member. When federal or state law changes are enacted or new benefit programs created, GUS's system design allows them to be developed more easily and quickly. GUS is developed with flexible core components that can be rapidly modified to meet the ever-changing federal reporting requirements. New system releases address areas related to federal changes as well as support state and federal initiatives.

GUS also contains administrative areas where AWI can program in the criteria they desire to accomplish tasks. These configurable processes allow the staff flexibility in how to conduct their business.

5.1.c. Customer Interaction with the System

Requirement: ***5.1.c:*** Describe how customers will interact with the system to obtain UC information and services.

The GUS user interface is designed using the principles of Web 2.0 and user centered design. The needs, wants, and limitations of end users are given extensive attention at each stage of the process. GUS optimizes the user interface around how staff and customers need to work, rather than forcing them to change how they work to accommodate the software developers' approach. The system is designed to easily facilitate interactive information-sharing between staff, claimants, and employers.

Customers of the new UCCBIS system vary markedly in computer knowledge and expertise, but they all demand a sophisticated system that is user-friendly and arranged logically. GUS provides ready access to information, regardless of a user's educational level, computer ability, or experience. GUS's Web-based design is extremely user-friendly and incorporates three interface options: Web Theme, Text Theme, and Screen Reader Theme. These options permit users to effectively access the system under a variety of conditions, including low Internet access speeds.

Our experience has shown that information about individuals is best built in a step-by-step approach. In the development of Web-based systems, it is imperative that information be requested only when needed. GUS is

built to prompt individuals to provide information as needed. The customer enters the information, thereby eliminating lengthy staff input requirements, and the information is in a common format thereby allowing staff to easily migrate that information as more program-specific requests are required.

The functional screens within the system have a similar look and feel so users can easily recognize the arrangement of menu bars and buttons, menu commands, graphic design, and other commonality among screens. Information in the system is easy to understand. The GUS Web Theme interface offers customers a traditional Web interface that displays light graphics. The interface includes left fly-out menu navigation, and the use of icons, links, and buttons.

The following sections describe how customers interact with GUS UCCBIS to obtain UC information and services:

5.1.c.i Claimants - Web-Based Access

Claimants can access GUS via the Internet and can easily perform the following functions:

1) Creating and Maintaining a Web Account (Username/Password, and Account attributes)

GUS includes a very user friendly and customizable Internet application form to allow claimants to self-register and establish access to the system. The data elements required to file claims are displayed on this form. This includes information such as name, address, telephone number, and email address. The data elements are defined to meet the specific functionality and flow of service that is defined for the system. Upon entering the GUS site for the first time and requesting a service that requires registration, a claimant is required to create a unique Username and Password that are used to allow the claimant to reenter the system. GUS also has a *Profiles* component that allows claimants to view, add and modify any of their previously stored personal information in the system such as address and employment history.

2) Filing Initial Claims on the Web

When a claimant wishes to file for unemployment compensation, there are numerous types of claims available to the claimant dependent on their unemployment situation. Based on data that is input to the system, GUS determines the type of claim that should be completed. There is the initial claim-taking process which typically results in a regular claim. If there is a disaster situation for which their county or state has been approved, the claimant is required to complete an initial form and additional forms if they do not qualify for regular benefits.

Whenever a claimant has had intervening employment and has a remaining balance in their Benefit Year, they file an additional claim and can be asked by GUS to complete an abbreviated form. This form concentrates more on the latest employment as opposed to the information gathered in the initial claim process. GUS also contains forms to be completed to file for extended benefits, either State Extended Benefits (EB) or Federal Emergency Unemployment Compensation (EUC). There are also special situations when a claimant is required to file for unemployment as a result of a company reducing their normal hours by 10 – 40 percent, which results in a Short Time Compensation (STC) claim. In this situation, the claimant or his employer must complete a claim application form. The claimant may also be filing for unemployment as a result of their company transferring their work duties off-shore, in this situation the claimant would file for benefits under the Trade Readjustment Act (TRA). In the case of TRA, there are additional questions that are asked of the claimant to meet that process.

Initial claimants who already have a Username/Password in the system log into the system using that information. They are presented with an option to file for unemployment benefits should the need arise. Claimants who do not have a system Username/Password can request to file an unemployment claim from the system's home page.

Throughout the claimant application process, Issues are generated along with work item tasks dependent on the answers provided. At the conclusion of completing the application, the system collects wages from base period employers and calculates the claimant's initial benefit amounts. Base period employers and the separating employer are sent requests to respond to the reasons for the claimant's separation. If the base period employers agree that the reason for separation was "Lack of Work" they are charged for that percentage of the total base period wages for which they were responsible (employer charge). At the conclusion of these calculations, the system also provides the claimant a status of his claim, discussed below.

3) File continuing claims

Claimants can use GUS to file their weekly or bi-weekly certification. This capability is available to them either from their Claimant Status screen or the GUS *Claimant Dashboard*. In both cases, GUS presents the certification screen that identifies the week that requires certification and asks "able," "available," and "refused jobs" questions. In addition, the claimant enters any earnings for the week certified and identifies the employer and days worked for that employer. The certification process also requires the claimant to enter a minimum of three jobs for which the claimant looked for employment. GUS automatically enters the required employer information if the claimant used the integrated workforce system to apply for a job. If not, the claimant has to enter the required employer information.

4) Obtaining Claim Status and Claim History on the Web

Within the GUS site the claim status is available to the claimant once they complete their first claim application, and remain available for that claim and all subsequent claims. The claim status is available to the claimant every time they log on to the system and view their *Claimant Dashboard*. The *Claimant Dashboard* is a screen that provides the claimant information in an easy to read and dynamic view. From the *Dashboard*, the claimant can view a variety of information that is currently relevant to them, including the claim effective date, their benefit amount, any outstanding claim issues and the claimant base period employers with wages earned and any weekly certifications. The claimant may also view their claim history from the dashboard. This includes a history of all the claims filed by the claimant, with the most recent claim being displayed first.

5) Filing Appeals on the Web

In GUS, requesting an Appeal is a straightforward process. Once in GUS, the claimant can quickly navigate to the *Claimant Dashboard* which provides them with several capabilities, one of which is to request an appeal. When selected, the Request to File an Appeal screen appears, allowing the claimant to start the process. The process is very simple in that the claimant need only supply the Determination Number, which they would have received from the Agency, and click "Submit." GUS refreshes with a link to the Determination in question (which can be viewed), the Claim Number associated with the determination, the Claim Type, the Claim Status and the Issues associated with the claim. For each issue, the system displays the issue detail. After confirming that this is the correct Determination, the claimant need only click "Apply for an Appeal" and the system returns the Appeal Submission Date along with a message of explanation (this message can be customized by AWI).

6) Requesting Customer Information on the Web

GUS, through its *Claimant Dashboard*, provides claimants access to a significant amount of current information areas. From GUS, claimants can also directly request some of the confidential information associated with their claim. Some information is released to the claimant with appropriate redacting and requires charges (i.e., for financial institutions or landlords). Other information requires redacting and requires a cost for creation, review, and distribution. Some information is released at no charge and without redacting. Claimants can also ask questions for which staff assistance is required. These are controlled through work items.

7) Review Communications, Events Notices, and Notifications on the Web

Claimants have access to several types of information through GUS. The *Claimant Dashboard* provides them a summary of all their notifications, general and specific communications, and any event notices that might be posted. The GUS *Communications Center* includes a user-friendly message center where claimants can view communications and notifications that have been addressed to them. This includes notifications of claim determinations or re-determinations, notification of appeals hearings, or just general solicitations of additional information. GUS also includes an *Event Scheduler* which allows claimants to view upcoming events that are scheduled for them, like eligibility reviews or appeal hearings. This operates in a similar fashion to Microsoft Outlook, showing the schedule in both *Calendar* and *List* views. This scheduler can be used to allow individuals to sign up for events.

8) Review Career Information and Local Labor Market Information on the Web

As an integrated system GUS includes direct access to services currently provided by EFM that are designed to assist individuals in making career decisions, researching the labor market, choosing a career, and finding jobs and training opportunities. The Career Services component allows users to analyze their own skills and attributes together with the local labor market conditions to make an informed career choice. It includes a step-by-step guide to selecting a career, and a section to analyze a person's skills and match those skills to a

suitable occupation. Additionally, users may review profiles of occupations and analyze, in detail, labor market information on occupations for their region or for the entire state.

9) View and Apply to Local Jobs on the Web

As part of the *Claimant Dashboard*, GUS provides the claimant with a listing of jobs that are available in their occupation code near their residence zip code. This allows the claimant to immediately look for work, possibly shortening their period of unemployment. As an integrated system GUS includes an extensive and sophisticated array of job searching and matching functions that allow flexibility and power in the claimant's ability to conduct effective job searches based on skills, experience, location, and other relevant criteria, including the ability to have results emailed to them. By directly accessing EFM's jobs database, the claimant has access to the tens of thousands of jobs in real time. This includes all third party jobs posted online in the state of Florida, accessed by using advanced "spidering" or technology.

5.1.c.ii Claimants – IVR Based Access

The Claimant IVR serves as an additional gateway to GUS. The state-of-the-art IVR operates in an intuitive manner guiding the claimant through the process of obtaining UC information and services. When claimants interface to the system using the IVR, they have access to the majority of GUS claimant functionality because both systems uses the GUS database tables as the system of record for all information collected and distributed through an IVR session.

When Claimants access GUS using the IVR, they have access to the following services:

1) Creating and Maintaining an IVR Account (Username/Password, and account attributes)

When a claimant calls via telephone for UC services, the call is picked up by the IVR system and the claimant is asked to enter their IVR Username/Password. If the claimant had not previously entered an IVR Username/Password, they are instructed to do so at this time. The key to linking their IVR Username/Password within GUS is capturing and processing their Social Security Number. Upon reentering the system, the claimant uses their established Username/Password to access the IVR system.

2) Filing Initial Claims via IVR

The GUS IVR system supports the entry of initial claims collecting the key data elements that are required to complete the claim registration application. In circumstances where the claimant has an available claim in their current benefit year, the process is relatively short because the initial required claim information has already been collected and the system need only confirm personal information and determine a few key elements. Should the system determine that the claimant was not eligible for a continued claim; the claimant is asked to complete an initial claim. In the initial claim process on the IVR, the claimant is asked to enter the key information required to process an initial claim.

After collecting, saving, and processing the claimant-provided information, the system switches the call to the next available call center agent. If the IVR determines that the agent is not available for a predetermined period of time, the system makes arrangements for a call center agent to call the claimant back within a specified time period, based on current call volume.

Prior to connecting the claimant to the call center, an agent has access to the information that the claimant has entered on a GUS registration screen. Upon connecting the call, the agent can complete the data gathering process, reviewing the data and collecting the employer data if the claimant says they have recently worked. It is important to note that the claimant can request to be connected to a call center agent at any time during their call.

3) Filing Continued Claims via IVR

Claimants can use the GUS IVR system to file their weekly or bi-weekly certification. Once the claimant successfully logs on to the IVR system, they can select the certification option. The system validates that they are authorized to certify their next benefit week(s). Once authorized, the claimant is prompted for the next weekly certification and is asked questions regarding their certification such as "ability to work," etc. In addition, IVR voice recognition capabilities are used to prompt the claimant to identify the three jobs for which the claimant applied during the week.

Once the certification week has been entered through the IVR by the claimant, the claimant's responses are updated by GUS, creating issues and work items as appropriate for subsequent staff processing. The IVR

system informs the claimant of any issues created during that weekly certification. The claimant can then enter subsequent certification weeks or return to the main menu to use other IVR capabilities. The claimant can also request to speak to a call center agent at any time during the call.

4) Obtaining Claim Status and Claim History via the IVR

The GUS IVR system is available to claimants to review the status of their active claim and determine whether there are outstanding issues that prevent them from being paid. The claim status information includes Claim Status, Claim Effective Date, Claim Wage Benefit Amount and Available Benefit Balance, and the Benefit Year Start and End Dates. The claimant also is informed if there are active issues that would prevent them from being paid. If there are active issues, the claimant is informed that these issues are being processed by Agency staff who contact them for additional information to help resolve the issue. The claimant can request to speak to a call center agent at any time during the call

5) Requesting Customer Information via the IVR

GUS provides customer information through IVR requests. Once the claimant authenticates themselves to the IVR system, they can select *Request Customer Information* and obtain several categories of information. The Agency approves what information the claimant can request from the IVR interface. Claimants have access and edit rights to much of their personal information (name, address, phone numbers, email addresses and payment preferences). Claimants can request confidential information to be released for financial institutions or landlords. Other requested information requires redacting and incurs a cost for creation, review, and distribution. Some information is released at no charge and without redacting. As with all IVR-supported interaction, the claimant may request to speak to a call center agent at any time during the call.

6) Review Communications, Events Notices, and Notifications via the IVR

Claimants have access to communication information through the GUS IVR interface. Notifications concerning determinations and redeterminations, general and specific claimant communications, and event notices are available through the IVR system. As with all IVR-supported interaction, the claimant may request to speak to a call center agent at any time during the call.

5.1.c.iii Claimants – Mail

In the proposed solution the claimant can mail in their application and other information and have it entered by the AWI staff. This process is assisted by the capability of the system to scan mailed applications and create and store them as indexed images.

When submitting a UC request by way of mail or email, several steps occur prior to the claimant being contacted by the Call Center. First the mail or email item would be captured (scanned) and a work item would be generated with the scanned attachment and forwarded to the appropriate call center staff action area. In some cases, the requirement would be satisfied without staff/claimant interaction, assuming the correct information was provided. The assigned staff would enter appropriate information on GUS using the screens to comply with the claimant's request. In cases where required information was not present, staff would have to contact the claimant to complete the process.

5.1.c.iv Employers – Web Based Access

GUS makes the unemployment claims process for employers more efficient and effective, thus increasing their customer satisfaction. GUS allows each employer to set up multiple accounts so more than one employee can access the system. Employers have online access to an *Employer Dashboard* that provides quick access to all employer functions and a working calendar that identifies all schedules employer events.

When employers access GUS using the Web-based interface, they will have the ability to access the following services:

1) Creating and Maintaining a Web Account (Username/Password, and Account attributes)

An employer, upon entering GUS for the first time, is required to create a unique Username and Password that are used to allow the employer to reenter the system and use the GUS integrated workforce functionality. In today's business environment, employers are very busy people. Time is precious and employers are traditionally reluctant to embrace a website that requires a significant amount of data entry.

GUS is built on the principle of asking the employer for information only when it is needed. Employers accessing GUS are presented with the option of registering or simply entering the system as a guest so they can learn what is available to them before any registration is required.

GUS has another very useful feature that allows an employer to identify sub-employers associated with their account and who can act on their behalf. Once identified as a valid system user, the employer or designee have access to all GUS employer functionality. After registration, it is proposed that the employer be placed in an "on hold" status until the employer has been verified by staff, as it is important that only the correct employer and employees have access to this sensitive information. This is a configuration option in the system.

2) Obtaining Claim Status and Claims History on the Web

Claim determinations and the status of pending activities are available to the employer once they have successfully completed their system log on and been verified. Although this functionality is available from several GUS entry points, employers can easily access it from the *Employer Dashboard*. Employers can view claim elements and outstanding claim issues for which the employer is involved.

3) Filing Appeals on the Web

In GUS, employers can request an appeal online. Once in GUS, employers can easily navigate to the *Employer Dashboard* in which the employer can initiate the process to request an appeal process. When selected, the *Request to File an Appeal* screen appears which allows the employer to start the process. The process is very simple in that the employer supplies the Determination Number, which they would have received from the Agency, and clicks "Submit." The system displays a link to the determination in question (which can be viewed), the Claim Number associated with the determination, the Claim Type, the Claim Status and the Issues associated with the claim. For each issue, the system displays the issue detail. After reviewing this information, the employer need only click "Apply for an Appeal" and the system returns the Appeal Submission Date, along with a message that the Agency can design.

4) Requesting Customer Information on the Web

Through the *Employer Dashboard*, GUS provides employers with access to many information areas. Employers have access to their corporate information and have edit rights to modify name, address, phone numbers, email addresses. Employers can also ask questions for which staff assistance is required to satisfy the request and is controlled through work items.

5) Review Communications, Events Notices, and Notifications on the Web

Employers have access to several types of information through GUS. The *Employer Dashboard* provides them access to all their notifications, general and specific communications, and any event notices that might be posted. The GUS *Communications Center* includes a user-friendly Message Center where claimants can view communications and notifications that have been addressed to them. This includes appeal hearings or scheduled adjudication calls. They are able to access all notifications of claim determinations or re-determinations and notifications of appeal hearings. Employers also have the ability through the *Employer Dashboard* to answer requests for additional information from the Agency. Employers would reference the Issue or question number, provide their response in the text box provided, and have the ability to add an attachment to the response.

6) Enter Job Orders and Review Job Seekers' Online Résumés

As an integrated system, GUS includes functionality that provides assistance to employers to post job orders, view applicants for open job positions, search for candidates, assess job market trends, analyze occupations and labor market information, view Web links on employment topics, and store collected data in online recruitment folders. Staff may also assist employers with these services using the Manage Employers function.

5.1.d. Agency User Interaction with the System

Requirement: *5.1.d:* *Describe how Agency users will interact with the system to obtain UC information and services.*

GUS provides a comprehensive Web-based solution for staff providing customers with unemployment compensation claims and benefit services. This system is intuitive and easy to use. It replaces the antiquated and difficult to navigate mainframe screens that are currently in use. The system significantly reduces the learning curve for new staff and helps improve staff morale by providing a user friendly interface and by reducing the amount of tedious manual intervention required. Authorized staff are able to access GUS from any location where they can access the Internet.

5.1.d.i Unemployment Compensation Staff and Partners

In GUS, staff access is controlled by privileges that are established by system administrators. The staff access portal supports authorized staff from:

- AWI's Unemployment Compensation Program
- AWI's Office of Workforce Services
- AWI's Office of Appeals
- Florida Department of Children and Families
- Florida Department of Financial Services
- Florida Department of Revenue
- Florida Department of Education
- Local Workforce Agencies

The areas of the system that a staff member can access are controlled by the privileges that they have been assigned. Thus the unemployment claims takers are not normally able to access functionality used by the office of appeals.

GUS supports true case management. Authorized staff can search for individuals and employers and select to "Manage" that case. In this role staff can assist the customer by providing the following functionality (described in the previous section):

- Account creation and maintenance for claimants and employers
- Filing of initial claims on the behalf of a claimant
- Filing of continued claims on the behalf of a claimant
- Review of claims status and history
- Filing appeals on behalf of employers
- Filing appeals on behalf of claimants

GUS provides a great deal of flexibility for staff to perform their assigned functions. Upon entering GUS, users can easily navigate to their *Staff Dashboard* which contain their assigned work items (listed in priority order), their assigned groups, a calendar identifying their scheduled events for that day, and the function keys for which they are authorized to use. Staff also have the capability to navigate GUS using the dynamic Left Navigation function which is provided in the GUS integrated product. GUS integration with Employ Florida Marketplace (EFM) allows staff with appropriate permissions to, for example, review how a claimant is doing on their job search activities.

GUS automates a significant number of processes for staff and provides modern communications and workflow tools to make their work more efficient. GUS promotes a shift from low-value, high-volume processing tasks to high-value tasks that resolve issues and prevent overpayments from the Florida UC Trust Fund.

The following are the "core" functions where staff interacts with the GUS solution:

1) Researching Claims for Eligibility

GUS is a fully automated UCCBIS. Once a claimant (or staff member on their behalf) submits an initial claim or a continued claim (Weekly Certification), GUS assesses the claimant's eligibility. Using the Florida rules for monetary eligibility, GUS automatically determines what, if any, weekly and maximum monetary entitlement the claimant has. The staff's focus is on those claims where GUS determines there are issues with the

claimant's responses. GUS provides tools that are available to manage, research, resolve, and document these issues.

2) Processing of Claims

Within GUS the processing of claims is automated. In most situations the system calculates each base period employer's percentage of the total base period wages that also correspond to the potential liability borne by each employer and process the claim. However, there are circumstances where the process requires manual staff intervention. GUS provides the tools for staff to guide work items through the process. For more details on the processing of claims see Section 5.1.a.iii and Section 5.3.c.i

3) Processing of Payments

The processing of payments is normally an automated process in GUS. However, the system is designed to assist staff in the processing of payments in those situations where staff intervention may be necessary such as inaccurate data, returned warrants, warrants are not cashed, a deceased claimant, fraud, etc, For more details on how staff users interact with the GUS *Payments Module* see Section 5.1.a.vii and Section 5.3.c.vii

4) Adjudication Processing and Activities

GUS creates Work Items that are routed to the Adjudication Unit. The issues are distinguishable as separation or non-separation issues. These issues are placed in a Potential Issues Tracking (PIT) List. GUS provides a user-friendly interface to assist Adjudication staff in the fact-finding and resolution of these issues. They are managed by staff through workflow and work items. Interviews can be easily scheduled using the GUS *Appointment Scheduling Component*. For more details on how staff users interact with the GUS *Adjudication Module* see Section 5.1.a.xiv and Section 5.3.c.ii.

5) Processing of Appeals

GUS provides Appeals staff a complete case management system, from filing an appeal to rendering the final appeal determination and notification for both the lower and higher authorities. The Appeals staff has the ability to review and update the issue(s) that are associated with the appeal. GUS uses a documentation tree that allows staff to collect the necessary information concerning the appeal. For more details on how staff users interact with the GUS *Appeals Module* see Section 5.1.a.xii and Section 5.3.c.viii.

6) Auditing

GUS provides Audit staff with an interface to manage the requirements of the federally-mandated Benefit Accuracy Measurement (BAM) and Benefits Timeliness and Quality (BTQ) programs as well as Data Validation. This includes selecting the sample of claims to be used. GUS also provides the functionality for AWI non-monetary reviews. For more details on how staff users interact with the GUS *Auditing Module* see Section 5.1.a.ix and Section 5.3.c.ix.

7) Running Reports – standard, ad hoc, and federal

In GUS, authorized staff have access to a state-of-the-art reporting solution. The system includes a series of standard reports that compare data within and across the UC program. These include detailed reports with the ability to set a variety of filters and parameters. They also include executive dashboard reports that display summary information about the system's status, claimants, and employers using the system. In addition staff are able to create on demand custom and ad hoc reports that access any data element in the system subject to security requirements. The GUS *Reports Module* can also generate monthly and quarterly federal reports at the touch of a button. For more details on how staff users run reports, see Section 5.3.d.xii.

8) Sending and Receiving Communications and Notifications to Staff, Claimants, Employers, and Providers

Through the GUS *Communications Center*, staff can communicate with customers and other staff via internal message, mail, email, text message, or fax. Staff can enter freeform text or use configurable templates to easily create standard forms, letters, and notices. Staff can send correspondence both in bulk and/or on demand. The system also generates automated notifications to claimants and employers. This advanced correspondence capability results in improved communications between staff and external customers as well as between staff themselves. For more details on how staff users communicate with staff, claimants, employers, and providers see Section 5.3.d.ii.

9) Scheduling Events and Notifications

GUS provides UC staff with a comprehensive set of user-friendly tools for events and scheduling. The GUS *Appointment Scheduling Component* includes an interactive calendar where staff can schedule appointments and events within the system tied to a date and time. The system operates in a similar fashion to the Calendar function in Microsoft Outlook, with the ability to set reminders and automated notification. For more details on how staff users schedule appointments and events see Section 5.3.d.vi.

10) Sending and Receiving Alerts from the System

A unique feature of GUS is the system's Alert function. Here staff can set automated reminders and notifications when specific events take place or milestones are reached. An example would be to set an Alert to notify a UC staff member when an individual is within a week of exhausting their benefits.

11) Benefit Payment Control

When overpayments are created, work items are generated and routed to the BPC unit. The system provides full functionality for BPC staff to analyze the overpayment and classify it for reporting purposes. For more details on how staff users interact with the GUS *Benefit Payment Control Module* see Section 5.1.a.xiii and Section 5.3.c.iii.

12) Responding to Customer Information Requests

GUS provides UC staff with a comprehensive *Communications Center* that provides the flexibility to meet the various requirements of UC staff to respond to customer information requests. The staff member can choose the methods to send the communication and can also use the system's communication templates and standard forms to create standard messages, letters, and notifications. In certain situations information is redacted so as not to reveal any privileged information. For more details on how staff users respond to customer information requests see Section 5.1.a.viii and Section 5.3.c.x.

5.1.d.ii Education Providers

GUS provides a portal for the State's training providers to interact with the Agency. This portal is used by providers to certify the training attendance associated with TRA and to communicate with UC staff. The same site is used by providers to apply for programs to be on the State's eligible training provider list.

5.1.d.iii Administrators

GUS includes an Administration site built on robust security architecture. Within the Administration System, authorized administrators can manage the security and access levels of staff users. They can allow or disallow access to screens, screen functions by role, office, staff member, etc. The GUS Administration System provides the ability to create role-based workgroups as "Access Groups" and define their related privileges by program areas or geographic locations, or by many other factors, to restrict system access to authorized user groups. The access levels and group definitions can be changed or added to at any point, and customized to support newly-defined workgroups.

The GUS Administration System also provides the capability for authorized users to create and modify the various forms and templates used by the system, modify system settings, and change workflows. The Administrator can also access a full Audit Trail of data changes.

5.1.e User Interaction, Collaboration and Communication

Requirement 5.1.e: *– Describe how the proposed solution enables all users to interact, collaborate, and communicate with each other to achieve the goals and objectives of the UC program.*

GUS optimizes the user interface to reflect how staff and customers need to work, rather than forcing them to change how they work to accommodate the software developers' approach. The system is designed to easily facilitate information sharing between staff, claimants, and employers.

The system is a true integrated solution that provides a vehicle for the system's users and customers to effectively collaborate and communicate with each other. The system uses a modern Web 2.0 approach

which promotes interaction and effective communication. The following are the principal ways that staff interacts and collaborates with each other and with external customers.

1. Find Information and Services Online - Both staff and customers have easier access to more information on claims. Employers and claimants are able to go online and view more information on the status of claims than has previously been available. The data is presented in an easy to understand fashion using state-of-the-art tools in the *Employer, Claimant* and *Staff Dashboards*. Better informed staff and customers improve the overall effectiveness of the UC program.

2. Information via Automated Notifications - It is clear that the current UC system requires staff to spend too much time on activities that could be automated. The GUS solution is a fully automated UCCBIS designed to eliminate manual intervention based on modern technology and communications tools. The introduction of more system-generated correspondence and notices improve communication.

3. User Enhanced Communications Capability - Through the GUS *Communications Center* claimants and employers are also able to communicate with staff about their claims or the claim process, ask questions, and exchange other information. The GUS *Communications Center* makes it easy for staff and external customers to send and receive correspondence and messages. The result is more effective collaboration and interaction in the UC Program. The system supports correspondence templates that let staff quickly create standard forms, letters, and notices. The increased communication results in better customer service. The GUS *Communications Center supports* multiple mediums including internal message, mail, email, fax, and even text message. Claimants and employers thus find a UC program that is more in line with the way they want to communicate in the age of the Internet and mobile computing devices.

4. Collaboration through Workflow and Work Items -The GUS *Workflow Component* results in better interaction and collaboration particularly among staff. The system shepherds work items between staff and encourages them to enter comments and collaborate with each other and set priorities.

5. The Use of Effective Case Management

By definition, Case Management is a collaborative process with a number of contributing users. GUS allows staff to easily trace and track case histories and other information that result in staff providing a more effective service to Florida's claimants and employers.

5.2 System Development

5.2.a Lifecycle Methodology

Requirement: ***Tab 5.2.a.*** *Describe the proposed system development lifecycle methodology.*

Geographic Solutions proposes a single, proven Project Planning and Lifecycle Methodology to the Florida UI Project which blends the essential ingredients for low risk, cost effective, and successful delivery of a usable, maintainable, extensible, and reliable solution. Our methodology, referred to as Geographic Solutions' Rapid Integrated Development (GRID) method, is our standard approach for managing projects.

The life cycle of the project refers to the tasks required to perform the project and the dependent relationships among those tasks. A GRID life cycle is sequential and provides a structured approach to implementation project planning. The five sequential phases of the project include the following:

- Inception Phase
- Elaboration Phase
- Construction Phase
- Transition Phase
- Post Implementation Phase

The GRID methodology is outlined in detail in Tab 4.

5.2.a.i. Requirements Validation

Requirement: ***Tab 5.2.a.i.*** *Describe the proposed requirements validation approach and methodology for this project.*

Geographic Solutions recognizes that thorough requirements validation is a critical component of effective project management. The success of the Florida UI project depends on how thoroughly the requirements are defined and managed through the life of the project. The Geographic Solutions' GRID methodology incorporates a well defined and proven requirements analysis and management methodology. The methodology is used to manage both functional and non-functional system requirements to improve accuracy and completeness and increase overall satisfaction with an interactive validation process (SOW 8.2.1.1).

The identification of requirements starts with the baseline and flows to the final specifications. The flow proceeds continuously throughout the project life cycle through multiple iterations of requirements and specifications.

It is essential that all of the Agency's requirements be captured effectively as they become the baseline of the Florida UI Project. The Geographic Solutions' Team will work with the Agency to develop requirements utilizing the Microsoft Team Foundation Server solution, an Application Lifecycle Management (ALM) tool that is described below.

Geographic Solutions' Team will begin the requirements analysis at the on-site project kickoff meeting. Requirements will be determined further from the initial source and project planning documents. Geographic Solutions understands the importance of time management during the requirements validation sessions (SOW 8.2.1.6). A Schedule and an Agenda for each requirement's validation session will be provided to the Agency's participants at least five days in advance (SOW 8.2.1.2, SOW 8.2.1.4).

Geographic Solutions will provide functional and technical experts on-site during the requirements validation sessions to gain an understanding of the Agency's processes, requirements and data, and to address and answer any questions (SOW 8.2.1.3, SOW 8.2.1.5 and SOW 8.2.1.9). The sessions will be documented including any issues and decisions as a result of the sessions (SOW 8.2.1.5 and SOW 8.2.1.16). Geographic Solutions will analyze and refine the database design as required (SOW 8.2.1.12), and will identify any gaps between the Agency's current and future processes (SOW 8.2.1.11).

The Agency's requirements will be identified and categorized into the following groups:

- **Software Requirements** – A detailed list of required components with any necessary additional functionality.
- **Data Requirements** – Any data that needs to be referenced by the system.
- **Interface Requirements** – A list of interfaces to be created, including any uploads to legacy systems
- **Conversion Requirements** – Any programs that need to be developed to import or export data
- **System Requirements** – Any issues with the network and hardware infrastructure.
- **Security Requirements** – User privileges and SSL requirements.
- **Reporting Requirements** – An outline of the reports that will be required in the system.
- **Training Requirements** – A listing of the training that will be required to utilize the system.
- **Support and Maintenance Requirements** – An outline of any required support and maintenance
- **Configuration Requirements** – An outline of basic system business rules and options.

Geographic Solutions will provide a draft report of each requirement validation session, including issues addressed, decisions made and business rules linked to the requirements, workflows, and forms to the Agency's Project Director within three business days after the requirements validation session (SOW 8.2.1.7). Also, a final report of each requirement's validation session with comments and revisions from the Agency will be provided to the Agency's Project Director within three business days of receipt of comments and revisions from the Agency (SOW 8.2.1.8).

Geographic Solutions utilizes the Microsoft Team Foundation Server which provides Application Lifecycle Management (ALM), a complete Web-based solution to create and manage requirements. The Application Lifecycle Management (ALM) solution enables teams to create and share requirements using document-based methods while leveraging database-enabled capabilities such as requirements traceability and impact analysis to ensure the integrity between requirements documentation and the development process (SOW

8.2.1.13). Increased communications and clear, concise, and complete specifications allow Geographic Solutions to deliver projects on time and within budget resulting in greater customer satisfaction.

ALM has full import and export capabilities and can create relationships between the requirements and the developed system, providing change control for new requirements, providing traceability matrices, and generating standard and custom reporting structures.

ALM enables the import of Microsoft Word and Excel files to create requirements documents. From these documents, ALM facilitates the process of creating detailed system development specifications through tagging the requirements document, and then creating a link between the document and the specifications. This link allows changes in the requirements document to be reflected automatically in the specifications, insuring development integrity. As requirement documents evolve throughout the system development lifecycle, ALM provides change and comparison analysis of the document versions and creates automatic e-mail notification to stakeholders when requirements change (SOW 8.2.1.10).

ALM enables the user to create, view and export filterable traceability matrices and attribute reports to support the documentation of internal and external auditing needs. These reports can be delivered as a set of standardized reports to meet stakeholder needs and auditing requirements. Reports and data files can be exported and used in conjunction with other Microsoft compatible products to create business intelligence reports (SOW 8.2.1.14). As a result of the Review and Approval processes, reports deliverables can be revised as needed by the Agency (SOW 8.2.1.15).

ALM enables Geographic Solutions' project teams to manage system requirements, improve traceability, strengthen collaboration, reduce project rework, and increase quality.

5.2.a.ii. Reports Development

Requirement: ***Tab 5.2.a.ii.*** *Describe the proposed reports development approach and methodology for this project.*

GUS includes an extensive list of state- and federally-required reports exclusively for documenting the processes related to the UI interface. Geographic Solutions specifically developed these user-friendly reports after gathering input from unemployment compensation professionals at the local and state levels. State and federal laws were also used as standard guidelines to create reports that satisfy requirements and collect data needed by various governmental entities.

Based upon data contained in the GUS databases, the software will automatically calculate and create reports that meet the reporting requirements indicated in the Florida UI ITN, as well as many other reports that are discussed in the following subsections.

GUS includes a robust reporting module that lets users generate a wide variety of reports (within their assigned privileges). Users can create reports that display information about the individuals and employers using the system. The system also includes an ad hoc query reporting tool to allow reports to be created on any of the data in the database

Geographic Solutions develops reports using *Microsoft Reporting Services*, a server-based reporting platform that provides comprehensive reporting functionality for a variety of data sources. *Reporting Services* includes a complete set of tools to create, manage, and deliver reports. *Reporting Servic*es integrates with the Microsoft Visual Studio environment and with SQL Server tools and components.

Using *Reporting Services*, Geographic Solutions creates interactive, tabular, graphical, or free-form reports from SQL data sources. The tool allows the user to publish reports, schedule report processing, or access reports on-demand. *Reporting Services* also enables the user to create ad hoc reports based on predefined models, and to interactively explore data within the model. The user can select from a variety of viewing formats, export reports to other applications, and subscribe to published reports.

Geographic Solutions will design, develop, and test all the reports outlined in the Requirements Definition Document that are not already a part of GUS (SOW 8.3.1.1). We will also provide documentation on the reports specifying purpose, format, content, and frequency (SOW 8.3.1.1).

5.2.a.iii. Forms & Correspondence Development

Requirement: 5.2.a.iii *Describe the proposed forms and correspondence development approach and methodology for this project.*

Attachment Q of the ITN response contains 46 separate requirements pertaining to correspondence and forms development.

Geographic Solutions will create the required templates for all the forms and correspondence required for the new Florida UCCBIS. Three types of templates will be included:

- Personal Communication Templates - will be used by staff members for their own individual communications, such as specific requests they may make to external customers, and letters.
- Default System Communication Templates - will be made available to multiple staff members as part of the workflow of the system.
- Default System Forms – will be available for complex correspondence that requires extensive data entry fields and sophisticated layouts.

Agency staff, with appropriate privileges and background, will be able to modify specific forms and customize correspondence to meet their needs, or contact Geographic Solutions to make these customizations part of the proposed system.

Geographic Solutions will provide documentation on the forms and correspondence specifying purpose, format, content and frequency (SOW 8.4.1.1). These will be made available to Agency staff for access and modification purposes. If Agency staff members desire to create their own forms, user documentation will provide access for this task.

Geographic Solutions, will create the new forms, go through all testing protocols, and submit the new form to Agency staff for approval. If the new design is acceptable, they will be readily available for staff to use (SOW 8.4.1.2).

5.2.a.i.iv Functional Design

Requirement: ***5.2.a.i.iv*** *Describe the proposed functional design approach and methodology for this project.*

The process of functional design, as used in the GRID approach, is at the center of our planned Florida UC modernization approach. It is a set of common system functionality that provides a foundation for all UC processing. Each of the higher level business processes such as Claims, Wages, Benefits, Appeals, Adjudication, Reporting, and other processes draw on this set of basic functionality to handle common processing activities. Within the conceptual model and related requirements, the Agency will identify common functionality required and desired to satisfy its processing needs. The Functional Design phase provides the process for transitioning from the project vision to the deployment of the system.

The Geographic Solutions Team will develop and document the functional system design and all design deliverables for all phases of the project (SOW 8.5.1.1). The team will communicate with the Agency regarding each design phase and provide them with all system design documents and updates. The functional system design will be developed based on the documentation created. Geographic Solutions' developers will maintain contact through meetings, conference calls, and other methods of communication, such as our OPC system to keep the Agency apprised of all functional developments.

Forms, screens and menu navigation will be demonstrated to the Agency for review as the Geographic Solutions Team completes the initial prototypes. This demonstration will be done through a series of meetings over all phases of the project and will include data and process models and graphic representations where appropriate. The Agency will have an opportunity to test and review all system developments and offer recommendations. These recommendations will be reviewed and revisions will be made as appropriate. Agency staff will then have an opportunity to review and test the revisions. The initial functionality will be demonstrated to Agency staff, and then functional alterations will be followed through the Geographic Solutions OPC system to facilitate communication, keeping both parties involved (SOW 8.5.1.2).

As noted above, a series of sessions will take place in order to review all forms/screens, menu navigation, and other functional design deliverables. Some of this will be included in the JAR/JAD sessions, which occurs during the initial stage of a project. Since the proposed Florida UCCBIS design will take place over a series of

phases, and incorporate several different business processes, a number of formal JAR/JAD sessions and revisions may be necessary at the onset of each phase. After the Agency has had an opportunity to review basic functional designs, changes can be followed through the Geographic Solutions' OPC system (SOW 8.5.1.3). An open line of communication is important as the functional design processes evolve. Geographic Solutions will inform the Agency of changes as they occur and allow testing of those changes as they are developed.

Geographic Solutions recognizes that navigation that is simple and easy to use is crucial for any system. The functional review process is important so that staff can feel comfortable with the system in all phases and deliverables. Geographic Solutions understands that revisions may be necessary and will revise the deliverables and functional system design accordingly (SOW 8.5.1.4). All changes will be documented and revised based on input from Agency staff. Agency staff can follow these changes through their access to the OPC system as an outcome of various meeting demonstrations. All documentation that outlines these processes and changes will be revised and updated in the functional design document, which will be recognized as the permanent living document for the Florida UCCBIS.

The result of the functional design phase is a final specification package that will include documentation outlining the system architecture, forms, reports, data structure, interfaces, conversions, Web page screen designs, and enhancements. Geographic Solutions uses the IEEE recommended practice for Software Design Descriptions (IEEE Std. 1016-1988). The specifications provide the foundation for demonstrating that the system satisfies all allocated requirements.

5.2.a.i.v Technical Design

Requirement: ***5.2.a.i.v*** *Describe the proposed technical design approach and methodology for this project.*

The technical design development approach, as used in GRID, will be conducted in phases. The foundation for technical design is an onsite joint design meeting that includes Geographic Solutions' development professionals and Agency staff. The meeting will include a detailed step-by-step review of all technical system design components, including software languages and tools.

As part of the analysis, the scope, risks, critical success factors, goals, and objectives of each required change to the specifications of the system are reviewed. Specifically the analysis will:

- Identify and document each system change decision.
- Establish the theme to follow for all technical aspects of the system.
- Document each issue and the changes made for each issue.
- List system links and define where they are used in the system.
- Complete a detailed project schedule. The schedule will identify all tasks required to complete the project, include a time estimate for task completion, and list the required staff resources.

Geographic Solutions will present the Agency with documentation which will outline the system's technical design, including a traceability matrix (SOW 8.6.1.1). This matrix will be a product of the Microsoft ALM solution described in Section 5.2.a.i. ALM creates a relationship between the agreed upon requirements document and the design elements. As deliverables are created and presented to Agency staff for review, issues and questions may occur. Geographic Solutions staff will work diligently to address these concerns and present solutions logically and in language both parties will understand. All deliverables must be presented in advance so that Agency staff members have the opportunity to review technical design issues with each phase of the project.

The Geographic Solutions Team will create a highly normalized Microsoft SQL database to store and query all pertinent UC data based on initial requirements set forth in the ITN. This widely used relational database management system is an ANSI (American National Standards Institute) standard and is the most widely used language for relational databases. By normalizing the database, data redundancy is reduced while maximizing system performance. The database design will be modified, refined, and offered again to Agency staff for review through all phases of the technical development (SOW 8.6.1.2). Many of these issues, as with the functional design, will be monitored through the Geographic Solutions Online Project Communication System (OPC). Agency staff can review progress and offer further details as issues progress.

Technical design issues and their decisions will be documented and monitored through the OPC system (SOW 8.6.1.3). In addition to this useful resource, meeting minutes, whether on location or via webinar, will be available for both parties to review. As each phase is discussed and technical issues reviewed, confusion is common. Meeting minutes and OPC documentation will assist in keeping on top of the crucial technical changes necessary as the process continues.

Geographic Solutions staff members will conduct training sessions and demonstrations to walk through all technical functionality as it is created and presented for all three phases of the proposed project. Agency staff will have the opportunity to review all technical aspects of the system and provide valuable input. Geographic Solutions will conduct as many technical sessions as necessary to review key technical issues relevant to the project (SOW 8.6.1.4).

Agency staff will have the opportunity to review changes in the technical design aspects of all three phases of the Florida UC Modernization project. The Geographic Solutions Team will revise these deliverables as a result of the review and approval process (SOW 8.6.1.5). Changes, and progress related to those changes, will be documented through the OPC system with updates made to the requirements documents and design elements. Discussions and additional meetings with technical development staff at Geographic Solutions will be offered throughout the project to ensure that the outcome is satisfactory. All documentation that reflects the final technical architectural design will be kept updated. A final copy of these materials will be presented to the Agency. It will represent the final decisions made on all phases of the technical project.

5.2.a.i.vi Business Process Updates

Requirement: ***5.2.a.vi*** *Describe the business process re-engineering approach and methodology for this project.*

Geographic Solutions is committed to assisting the Agency in modernizing the current UC system in Florida, which is antiquated and quickly becoming incapable of addressing the technological and business process requirements of the state. Our experienced staff will work with Agency stakeholders to create a new, reengineered system that will save Agency staff time and resources and help expedite the process of getting claimants back to work sooner and shortening the duration of their unemployment claims.

The proposed Florida UCCBIS will change some of the Agency's key business processes. GUS will automate routine tasks such as claims intake, in order to facilitate a more effective use of staff members' time and resources. This automation will help eliminate paper-based processes, including many of the 16 applications that comprise the current UC system that staff must access in order to complete their jobs. Geographic Solutions will provides updates to this process to the Agency to reflect the system as designed (SOW 8.7.1.1). Geographic Solutions will also update the Agency's "To-Be" business processes to reflect the reengineered, modernized UC system (SOW 8.7.1.2).

Geographic Solutions will revise the system and/or business process to reflect the input of the Agency (SOW 8.7.1.3). We are able to respond effectively to these changing requirements because we design our systems to be flexible, modular, and configurable.

Geographic Solutions will disseminate the Agency's "To-Be" business processes (upon approval by the Agency). These deliverables, including end-user documentation, can easily be offered to staff through several resource portals in the UCCBIS. This will allow quick access to instructional materials – such as user manuals or quick reference cards – that allow staff and other stakeholders to effectively and efficiently use the system (SOW 8.7.1.4).

Geographic Solutions is aware of the possibility of encountering a loss of critical business knowledge as skilled staff members retire or otherwise end their employment. The institutional knowledge for unemployment compensation traditionally resides in its people, not its systems. This requires that knowledge – of both the system and the activities managed by the system – be easily transferred between staff members. Geographic Solutions will help facilitate knowledge transfer among Agency staff.

5.2.a.i.vii. Interface Definition

Requirement: ***5.2.a.i.vii*** *Describe the proposed interface design and implementation approach and methodology for this project.*

Geographic Solutions is particularly qualified to assist in the implementation of all the interfaces required for the new Florida UCCBIS due to our extensive knowledge and experience with creating these kinds of

interfaces. We have a department dedicated to creating interfaces between new and legacy systems. Our data specialists have expertise in creating interfaces for data import/export processes to synchronize databases. Geographic Solutions currently supports interfaces to the UC systems of several states.

The interfaces designed to support the data conversion and exchange process will be driven by the nature, format, location, and accessibility of the source data. The interfaces for the proposed system will be appropriate for the unique conditions existing at the Florida UChost location and the interface capabilities of the Florida UCCBIS requirements.

Geographic Solutions will define and document all 37 interfaces that are identified in the Requirements Definition Document. Detailed information about these interfaces will include purpose, format, content, frequency, and processing for each interface transaction. Geographic Solutions will deliver and maintain this documentation (SOW 8.8.1.1).

Geographic Solutions database and network specialists, will meet with the appropriate Agency counterparts to designate the interface solution best suited to the unique properties of each data import/export requirement. The Geographic Solutions Project Manager will provide meeting minutes of each interface session, including issues addressed and decisions made, to the Agency's Project Director within five days of the conclusion of the interface meeting. Geographic Solutions will include status reports, software requirements specifications, and the requirements traceability matrix (SOW 8.8.1.2).

Geographic Solutions will prepare the interface deliverables recognizing that the Geographic Solutions and Agency responsibilities are driven by the mutually agreed upon process for the interface solution (SOW 8.8.1.3). If data is being shipped via FTP, then analysts would need to establish a combination of automated and manual procedures to ensure the export files are pulled and converted/uploaded where needed. Likewise, data export jobs may be needed to get information from internal AWI systems for use by the proposed system. In both cases there may be a need for pre-established procedures for both the Agency and Geographic Solutions to ensure all data interfaces execute properly and as scheduled.

Any problems or issues with the proposed interfaces will be documented in Geographic Solutions' Online Project Communication (OPC) system. This system will be used to monitor all services and issues related to the project, including change and incident management processes. The OPC system was specifically designed to provide state and local agencies with real-time access to the project's current status, and to track the progress of incidents and changes.

Geographic Solutions will revise the interface deliverables to reflect the input of the Agency (SOW 8.8.1.4).

The proposed GUS solution can support interfaces that utilize batch processing or real-time, online transaction processing data interfaces where practical. Some existing interagency batch file exchanges will no longer need to take place as Geographic Solutions has the ability to merge many programs into one system.

Batch Interfaces – Geographic Solutions' batch processing procedures can be written in Java/VB script, Visual Basic, or .NET. Batch interfaces use stored procedures whenever possible. Data extract, validation, or nightly database update processes can be scheduled by the database system job agent. No batch scheduling will take place on the database management system server directly, except for jobs utilizing DBMS Job Agents. All batch processing requirements are fully documented with run time frequency, input/output streams, estimated size of data, back out processes, and rerun procedures.

Real Time Interfaces – Geographic Solutions supports direct interface between systems using an application programming interface (API). The systems communicate using XML messages and WCF standards for using Internet application protocol as a transport protocol standard. We are compliant with both W3C and OASIS standards. Web services support interconnection of disparate data handling systems with a common communications solution and provide near real-time exchange of data to maintain currency and synchronization.

5.2.a.i.viii. Code and Unit Test

Requirement: ***5.2.a.i.viii.*** *Describe the proposed code and unit test approach and methodology for this project.*

In this phase of the GRID process, the bulk of the coding is developed, including customizations and business policy requirements established in the design phase and approved by the Agency. Several construction iterations may be developed in an effort to divide the new system into manageable segments that produce demonstrable prototypes which can be constructed and tested while others are being developed.

After approval of the system specification, the specifications are translated into code by the Geographic Solutions Development Team. The team will modify existing components in the software suite and, if required, add new functionality. They will create new or modified objects (SOW 8.8.9.3) and code new or modified programs (SOW 8.8.9.4).

Upon completion, units of code are tested using test cases against allocated design requirements individually (independent of other programs) and in successively larger aggregates until all software components have been completely tested and verified as working as specified. Test cases are created by development staff using Team Foundation (SOW 8.8.9.5). Code review and unit test results are maintained for quality assurance reviews, if requested

Unit testing involves the testing and removal of defects in an individual software unit. Unit testing takes place on a volume of code that is small and defined (SOW 8.8.9.6). A component of the software unit passes unit testing when the actual test results match expected test results within criteria specified by the project.

When inconsistencies are encountered during the code and/or unit testing activities, Geographic Solutions staff is required to document these issues in the OPC, so that they can be easily tracked as they are resolved (SOW 8.8.9.7). When all issues are resolved the developer will prepare the code and perform a final unit test of deliverables (SOW 8.8.9.8). These will include new or modified UC system components and updated database structures. Geographic Solutions will also revise the interface deliverables to reflect the input of the Agency (SOW 8.8.9.9).

Geographic Solutions uses industry-recognized development coding standards to ensure ease of readability and maintainability of all the code that will be associated with the Florida UI project. Geographic Solutions also uses Microsoft's Team Foundation Studio, which provides all teams with technical information about the GUS application code. This allows for more effective unit testing (through "check-in policies"), impact analysis, and architecture control.

The OPC system will be used to report and track all System Investigation Requests (SIRs) made by the Agency. This system is currently implemented and used by Agency staff (SOW 8.8.9.1). The OPC will allow Geographic Solutions staff to analyze and classify the SIRs and document their successful resolution. Agency staff and stakeholders will be allowed full access to the OPC for defect tracking and reporting (SOW 8.8.9.2).

Geographic Solutions' OPC Record – Partial View

5.2.a.i.ix. Software Development Activities

Requirement: ***5.2.a.i.ix.*** *Describe the proposed location for software development activities (Agency offices or Contractor provided facility).*

Geographic Solutions will be engaging in software development activities for the proposed system at our state-of-the-art technical facility in the historic district of Palm Harbor, Florida, located in the Tampa Bay area. Our five-building campus houses our advanced data network and features a secure server room with raised floors, leading-edge fiber optics, and a redundant infrastructure. Our team of developers uses a wide range of industry-standard tools in developing Geographic Solutions' products, including Visual Studio 2010 and SQL Server 2005.

Our two subcontractors – [redacted] – are located within 15 miles of Geographic Solutions' Palm Harbor offices. The proximity of the team will facilitate communication and knowledge sharing across all phases of the project.

All software development will take place in Florida.

5.2.a.i.x. System Integration Testing

Requirement: ***5.2.a.i.x.*** *Describe the proposed system integration testing approach and methodology.*

After unit testing, System Integration Testing is carried out in which progressively larger groups of software components are integrated and tested until the software works as a whole. Integration testing is performed to test

that each new or modified software unit works together with the other software components, as specified, and satisfies the validated requirements established in the Scope of Work. The Geographic Solutions Team will create all required system integration testing deliverables (SOW 8.10.1.1). This includes updating the requirements traceability matrix to reflect the relationship between requirements and planned tests (SOW 8.10.1.2).

Integration testing takes place in an environment that emulates the largest production environment. Geographic Solutions will establish this test environment (SOW 8.10.1.3) and configure the system to the most current production version of the software, and database, unless the Agency agrees to an exception (SOW 8.10.1.4). Unit and integration testing conclude when actual test results match expected test results within criteria specified by the project, ensuring that functional objectives have been achieved.

The development team performs the first stage of integration testing and is responsible for verifying that each tested software configuration item is ready for software system testing (SOW 8.10.1). The developer will exercise every interface and confirm that each interface operates according to the interface technical design specifications including interfaces to the GUS package (SOW 8.10.2). The results of the integration testing are recorded in the OPC system. The developer will create test data and test files needed for initial testing as well as for re-testing (SOW 8.10.1.5). Interface testing is also performed during this phase, to test each interface and confirm that each operates according to specification (SOW 8.10.1.7).

The Geographic Solutions' Quality Assurance Team performs system testing (SOW 8.10.1.6) to ensure each new component of the new system meets its objectives and requirements and that all components' units work properly together as a whole and meet all client requirements (SOW 8.10.3). System testing verifies the functionality of the entire system to ensure that the system reflects all of the specifications finalized during the requirements stage.

Before the system testing begins, test scripts are created that contain formal test scenarios written for each function. These scenarios show individual steps required to complete the function as well as inputs, outputs, and expected results.

Performance and stress testing is also established during this phase (SOW 8.10.1.8). Geographic Solutions staff will conduct performance testing to ensure that all components of the new system meet the Agency's performance requirements in a simulated test environment, and will perform data conversion testing to ensure that all data have converted properly (SOW 8.10.5). Rational *Performance Tester* enables Geographic Solutions to simulate large multi-user loads in order to achieve accurate stress testing that establishes system limits (SOW 8.10.4). The software also diagnoses the root cause of performance bottlenecks by quickly identifying slow performing lines of code and potential sources of production performance problems. This includes the ability to stress test for a defined set of virtual users running concurrently, testing functionality against automated test scripts. The number of virtual users can be increased as necessary to simulate production load.

Before the performance testing begins, test scripts/scenarios are created for each function critical to performance. These scenarios show individual steps required to complete the function, as well as inputs, outputs, and expected results. Test scripts are written by quality assurance staff to analyze a specific path through the system. These test paths encompass a wide range of routes through the system, with unique user characteristics and data selections available for selection in several different iterations.

Before any modified software is tested, the current production software will be run against benchmark test data using the test scenarios. The results will be recorded. The database will be restored and the modified software will be run against the same test data. The outputs from the modified software will be compared to the outputs from the production software. Any differences will be investigated and resolved. If coding changes are required to the new software, the problem will be logged in Geographic Solutions' Online Project Communication system and the software will be sent from Quality Assurance back to the programmer for resolution, where unit, integration, system, stress, and performance testing will be conducted again until expected results are obtained (SOW 8.10.1.10).

Usability testing (SOW 8.10.1.9) will be performed during this phase to evaluate the system's interfaces (SOW 8.10.6).

Regression testing will be applied to all incremental releases of the new system beyond the initial release to verify that previous functionality and performance have not been degraded when the system is enhanced with

the subsequent release of functionality (SOW 8.10.7). The scope of the regression test is established by examining the scope of the new release and testing points of its impact on the prior functionality.

Geographic Solutions will provide test status reports, test plans, and test results to the Agency for each of the described tests.

Geographic Solutions uses MicroFocus *TestPartner* to provide automated testing functionality to support its testing process. This tool allows staff to automate the regression, functional, and configuration testing of many elements in our system, resulting in timely identification of data, code, or business rule issues. The application increases efficiency of the testing effort by automating tedious tasks, such as collating the results of automated and manual tests into one report. The tool allows the Quality Assurance staff to start from, keep track of, and test all the required functionality in an application, helping to ensure that no critical business requirements go untested.

Geographic Solutions will create and maintain all required system integration testing deliverables, and will update the requirements traceability matrix to reflect the relationship between requirements and planned tests. For each set of tests performed, documentation will be provided for all test results (SOW 8.10.1.11).

5.2.a.i.xi. User Acceptance Testing

Requirement: ***5.2.a.i.xi.*** *Describe the proposed user acceptance testing approach and methodology for this project.*

Upon concurrence of our Oversight Team that the system has been fully tested and meets the project requirements for quality, the Agency will be notified that the system is ready for User Acceptance Testing (UAT). The objective of this phase is for the Agency to test the entire system functionality and ensure that all requirements are met as per the agreed upon design as specified in the Scope of Work.

The Agency conducts user acceptance testing, with the support of the Geographic Solutions Project Team. A team of knowledgeable Agency staff and UC stakeholders will review the new system in detail to determine that functionality meets requirements and the product adheres to the specifications. The Geographic Solutions Team will develop the user acceptance testing deliverables for UAT. The system specification document will be used to verify that the system functionality is correct and that the system can be judged as acceptable.

Geographic Solutions will establish the application in the acceptance test environment (SOW 8.11.1.2) and will be responsible for developing, maintaining, and documenting test cases and scripts, test data, and test files, and any other deliverables (SOW 8.11.1.1). Geographic Solutions will configure the system to the most current production version of GUS and associated databases, unless the Agency agrees to an exception (SOW 8.11.1.3). Acceptance tests will be planned for all requirements and outlined in the Acceptance Test Plan provided by Geographic Solutions (SOW 8.11.1.6). UAT will be fully supported by the Geographic Solutions Team (SOW 8.11.1.8), with results documented and reported in the Online Project Communication tracking system (SOW 8.11.1.9) as well as updated on the requirements traceability matrix (SOW 8.11.1.7). Geographic Solutions will update test plans, cases, and scripts as necessary when modifications to the system are necessitated; changes are then verified through an established regression testing process. Testing logs and analysis reports are kept and made available to the Agency.

Test data will be obtained by “scrubbing” actual data provided by the Agency (SOW 8.11.1.5). This process removes all confidential information from the data, such as actual name, address, Social Security Number (SSN), and Federal Employer Identification Number (FEID).

A fixed period of time agreed upon by both parties will be allocated for user acceptance testing. During this period of time, any problems will be addressed and corrected or modified to meet the requirements and specifications.

The user acceptance test environment will duplicate the operational environment (including underlying software, tools, and databases), as possible. Stress and performance testing will also occur during this phase. For more information on stress and performance testing, refer to Section 5.2.a.i.x.

The goal of the UAT phase is to verify the following:

1. Adherence to all requirements and design documentation;
2. Documentation of any defects existing in the software;
3. Full installation of the application software;
4. Conversion of legacy data;

5. Completeness and accuracy of system documentation;
6. Response time and overall system performance;
7. System hardware, software, and telecommunications performance;
8. System, data, and application security; and
9. Accuracy/performance of system interfaces.

In strict adherence to quality control, the system will not be implemented until a final user sign-off is secured. Geographic Solutions will develop acceptance test analysis reports for the Agency (SOW 8.11.1.10). A final sign-off by Agency staff will be required for the complete system prior to implementation.

Geographic Solutions will provide User Acceptance Testing (UAT) Training prior to the beginning of actual UAT (SOW 8.11.1.4). This training is often offered through Web conferencing as a distance-learning tool. Geographic Solutions provides this training to all those individuals who will take part in the user acceptance testing phase. The training is designed to provide them enough familiarity with the system to be able to conduct a thorough test. The training also instructs pupils how to document issues encountered during testing, using the OPC system.

When Agency project personnel encounter a system occurrence that does not conform to system specifications, they may use the OPC system to document the error. Examples of errors or “bugs” may include page crashes, spelling errors, problems with graphics displays, unmet requirements, etc. To create an incident (issue) record, Agency project personnel will simply log on to the OPC system using their assigned User ID and password, then complete a template to record details of the issue.

5.2.a.i.xii. Data Conversion

Requirement: ***5.2.a.i.xii.*** *Describe the proposed data conversion approach and methodology for this project.*

Geographic Solutions has converted legacy data for more than 30 State Departments of Labor nationwide. Our integration specialists work with the customer to create import programs to convert data from legacy systems that will be replaced by the new system. We are particularly qualified to develop and implement the proposed system due to our extensive knowledge and experience with data conversion, as required for the software application. Geographic Solutions' data specialists have expertise in data import/export processes to synchronize databases. Our experienced and qualified team of conversion specialists has developed custom system integration solutions for sites such as DC Networks, Louisiana Works, Employ Florida Marketplace, HireNet Hawaii, Indiana Career Connect, and New Mexico Workforce Connection.

This experience has included writing custom programs to import data, including claimant information, wages, and services from mainframes, which resulted in a successful conversion of legacy data between systems.

Geographic Solutions will provide a comprehensive, detailed data migration plan as part of the proposed system (SOW 8.12.1.1), and be responsible for planning, coordinating, executing, and monitoring all data conversion activities. This will include providing data conversion specification documents for users and support staff; developing data conversion schedules and routines; and conducting a mock data conversion (SOW 8.12.1.2).

Geographic Solutions’ project manager and data conversion specialists will meet with Agency data analysts and experts to understand the existing electronically-stored data from legacy systems that will have to be converted and uploaded to the UI database, culminating in the development of a functional and technical design for the conversion plan. Included in the plan will be detailed field conversion mapping documents, business rules that are required, control processes to manage any necessary manual conversion efforts, and identification of data records that will not be included in the conversion. The plan will also include a final data conversion schedule (SOW 8.12.1.3).

To achieve the required conversions of data, transformation packages are built and tested, including scripts in data migration routines that are specially designed to format and place data where required in the database (SOW 8.12.1.4). Once this is completed, a pre-established set of automated and manual tools and procedures are used to check the validity and completeness of the converted data. Extensive testing is conducted using automated application scripts to test the functionality and accuracy of the data.

Reports of data conversion activities and tests will also be provided to the Agency (SOW 8.12.1.18).

Data conversion follows the following process:

1. Geographic Solutions' project manager and data conversion specialists meet with the client's data analysts to understand the data requirements and the data flows that will be required between the system and the legacy system.
2. The data conversion specialists analyze the legacy database structures to determine the requirements for integration with the database structure. Missing data is identified (SOW 8.12.1.15), and procedures are recommended for handling missing data, data exceptions, and default values (SOW 8.12.1.16).
3. Based on the requirements found in the above steps, the tools and data migration routines required to perform the integration are determined.
4. Data conversion maps and plans required to perform the conversion are established (SOW 8.12.1.14). With Agency and UC staff assistance the legacy system source data fields and the proposed target data fields are identified for all legacy system data elements (SOW 8.12.1.13).
5. Conversion scripts, download routines, and data cleanup routines are developed according to the specification and mappings (SOW 8.12.1.7, SOW 8.12.8 and SOW 8.12.9).
6. The conversion is performed, as specified in the plan, against a test/mock database (SOW 8.12.5). Code is cleansed to improve the accuracy, quality, and integrity of the data to be migrated to the new system. Duplicate records are identified and reported based on criteria supplied by the Agency (SOW 8.12.1.6).
7. The solution is put through unit, integration, system, performance, stress, and acceptance tests, and any required modifications are made (SOW 8.12.1.10).
8. The solution is tested against a full production database and any corrections are made (SOW 8.12.1.11).
9. The solution is run against the actual production database in off hours. (SOW 8.12.1.12).
10. The converted data are evaluated using a combination of automated and manual tools to ensure the complete data set has been converted and loaded to the database (SOW 8.12.1.15).
11. The solution is tested and any required modification is made to ensure data integrity.

Production data conversion shall be submitted to the Agency for verification and approval at least 60 days prior to pilot production go-live.

Geographic Solutions is proposing to convert the data outlined in the table below:

Geographic Solutions is prepared to meet all data conversion requirements specified by the Agency, including the following data conversion assumptions for the conversion of legacy data to the UCCBIS:

- Most federal reports are created from flat files that store weekly, quarterly and annual data. Depending on the implementation schedule some flat files may need to be converted for reporting purposes.
- All data require to create any required reports after the system goes live must be converted.
- All required data to meet business and/or achieve requirements needs to be converted.
- The majority of the data to be converted is currently stored in VSAM file.
- Some of the VSAM files are fixed length but a number of the files are variable length.
- Many of the variable length VSAM files have both fixed length record types and variable length record types with occurs depending on clauses.

Our analysts and data specialists have years of legacy data conversion, integration, and testing experience with large systems. Several state customers currently have integration with data sources and applications located on mainframes, AS/400 computers, and other disparate operating systems. We have also provided integration services involving data that must be transported from other locations via FTP. Our experts will recommend procedures for handling missing data, data exceptions, and default values (SOW 8.12.1.16) as well as recommend the method for merging duplicate entities/records into one record (SOW 8.12.1.17). Our skilled team members will work closely with Agency staff to review data integration requirements and validate post-conversion data and produce reports

5.2.a.i.xiii. Installation & Implementation Approach

Requirement: ***5.2.a.i.xiii.*** *Describe the proposed installation and implementation approach / methodology for the project.*

Geographic Solutions assumes full responsibility for the installation and implementation of the UCCBIS and ensuring it is operational for users. The installation and implementation stage of the project is an intricate process that culminates Geographic Solutions' entire Project Methodology Plan. This process is a combination of many pre-defined steps which Geographic Solutions will conduct to ensure the effective implementation of the defined solution to Florida's UI production level site.

Prior to implementing the production-level site, Geographic Solutions will install all software on servers and clients, with the Agency's approval, and set up initial user accounts and privileges. A server sizing study will be performed in order to determine which servers shall be used to host the UCCBIS. Alternatives to the recommended system architecture will be provided.

Geographic Solutions will be responsible for the crucial transition from testing to production of the UCCBIS. Geographic Solutions' staff will install and implement the system after all required modifications have been made, and will provide fully documented installation and configuration procedures prior to moving the application and database from the test environment to the production environment. This installation and implementation shall culminate in a complete acceptance procedure, approved by the State in advance, in which all major system functions are tested and demonstrated to work as proposed on the installed systems regardless of hosting arrangements.

An implementation plan shall be developed that addresses activities crucial to a successful deployment, such as promotion of the software to the production environment, data conversion and population of the production system, system availability to users, identification of the steps leading up to the rollout, and a strategy to rollback in case of major issues encountered during the rollout.

Geographic Solutions will complete all implementation deliverables, revised and updates as needed, and will work with Agency resources to determine planning and coordination activities for all hardware and software supporting the UCCBIS.

5.2.a.i.xiv. Hardware Installation & Physical Installation Location

Requirement: ***5.2.a.i.xiv.*** *Describe the proposed hardware installation approach and physical installation location for each phase of the project.*

The Geographic Solutions Team will be responsible for installing all of the hardware and software needed to support the implementation of GUS. This will include procuring all required hardware and shipping it to the appropriate location. Our staff will install all hardware needed at the SSRC and confirm that it is in proper working order.

A detailed list of all hardware and software required to fully implement the proposed system is outlined in Section 5.3.h and Section 5.3.i. The software list includes all software necessary to fully implement the proposed solution including COTS software, operating systems, relational database management systems, help desk software and other supporting software.

Prior to implementing the production-level site, Geographic Solutions will install all software on servers and clients, with the Agency's approval, and set up initial user accounts and privileges. A server sizing study will be performed in order to determine which servers shall be used to host the UCCBIS. Geographic Solutions will develop an infrastructure plan based on this study (SOW 8.13.1.1). Alternatives to the recommended system architecture will be provided. The study will clearly identify all the proposed proprietary software and hardware

and provide an explanation of the associated benefits and risks for all proprietary software and hardware being used.

The Geographic Solutions team will work closely with Agency resources to plan and coordinate the installation of all hardware and software supporting the proposed solution (SOW 8.13.1.4) and will deploy the proposed solution to all locations as required by the infrastructure design (SOW 8.13.1.2). Geographic Solutions will be prepared to revise these deliverable based on the review and approval process (SOW 8.13.1.3).

As applicable, the Geographic Solutions Team will install and implement the proposed solution at the SSRC data centers and the call centers throughout the state (SOW 8.13.1.7). We will provide local technical and functional support at all the implementation sites during the implementation (SOW 8.13.1.6). Our staff will be present at each and every implementation site during the rollout of the proposed UC solution.

Geographic Solutions will complete all implementation deliverables, revised and updated as needed, and will work with Agency resources to determine planning and coordination activities for all hardware and software supporting the UCCBIS.

5.2.a.i.xv. Production Pilot (Approach & Methodology)

Requirement: ***5.2.a.i.xv.*** *Describe the proposed Production Pilot approach and methodology for this project.*

The Geographic Solutions production pilot approach is based on the GRID methodology. It is arguably one of the most important phases of the project. In this phase, the Geographic Solutions Team will roll out the complete system in a real business operational environment. It markedly differs from the UAT phase because real and conversion data will be used from a staging site and tested by Agency staff through a host of real-time environments. The intent of this requirement is to ensure all deliverables are validated in a production pilot before being fully rolled out to the Agency.

Geographic Solutions will prepare the pilot planning and implementation deliverables (SOW 8.14.1.1) and revise these deliverables as a result of the review and approval process (SOW 8.14.1.2).

The production pilot will be conducted at pilot sites selected by the Agency (SOW 8.14.1.3). The data that is part of the testing will include real production data, including conversion data from legacy systems. All interface environments shall be completed and ready for the production pilot, which includes interfaces pertaining to staff, individuals and employers.

The production pilot will examine all functional aspects of the system; the stability of the software; the accuracy of conversion data; the completeness and accuracy of system documentation; the impact on workflow and staff productivity; the response time and overall system performance; the system hardware, software and telecommunications performance; the accuracy of system, data and application security; the accuracy and performance of all system interfaces; the inclusion of online and/or batch reports relevant to new functionality; ad hoc access to any new data; and VPN access tests, among other factors (SOW 8.14.1 to 8.14.13). The Geographic Solutions team will provide on-site support at the production pilot sites (SOW 8.14.1.4).

At the conclusion of the production pilot, the Geographic Solutions Team will prepare a pilot operations report that certifies that the UC solution is ready for statewide implementation. This report must detail all activities that were examined. If any discrepancies or issues were found during this phase, the Geographic Solutions Team shall rectify the errors and document what the problems were, how they were corrected, and verify that additional testing was conducted to ensure the issues were resolved. Final health checks are performed to guarantee a successful implementation.

Geographic Solutions recognizes that the production pilot is an important step at the end of a lengthy process. Its goal is to capture issues prior to a truly live environment, and its importance is based on delivering a site that is the closest thing to a live environment. For both Geographic Solutions and the Agency, the approach should be one that allows exceptional and final testing opportunities in the last environment before the live phase.

Geographic Solutions' experience shows that it is effective if the production pilot acts as a real world test of all of the production hardware, software and infrastructure. However, we would not recommend removing the legacy operation and systems in the pilot locations. This avoids the enormous challenges of attempting to synchronize the data in the new systems in the pilot locations with the data in the legacy systems serving the rest of the state.

5.2.b. End User Training (Approach & Methodology)

Requirement: ***Tab 5.2.b.*** *Describe the proposed end user training approach and methodology for this project.*

The training approach and methodology for GUS includes the following variables:

- There are a total of 1,600 end users that provide a wide variety of roles and tasks within the UC system. There are currently three locations where training shall be conducted: Orlando, Tallahassee, and Fort Lauderdale (SOW 9.1.2).
- Based on a Committee Substitute for Florida Senate Bill No. 1782, the project will be conducted in three phases from 2009-2013. Specific training demands must be addressed within the three phases based on these roles and tasks. The Geographic Solutions Team proposes combining Phase 2 and Phase 3 together. This will require training for these phases to be combined.
- A Learning Management System will be adopted to assess each Agency staff member's expertise with GUS. Immediate training results must be reviewed and determinations made on any remedial training of staff that do not achieve required system knowledge (SOW 9.1.2.7).
- Back-up resources, such as user documentation and videos, shall be readily available to reinforce the training experience of the participants (SOW 9.1.22).
- Since the project will be implemented using a two-phased approach, plans must be in the works for continual new hire and remedial training, in addition to the initial 1,600 end users (SOW 9.1.23 and 9.1.22).

The skilled instructors of the Geographic Solutions Training Department have experience using similar UC systems in many different workforce development situations (SOW 9.1.19). Their approach to staff training is to emphasize real-world examples in exercises and workshops that are carried out "hands on" using the latest computer hardware and software technology (SOW 9.1.13). The Training Department will coordinate all training efforts with the appropriate Agency staff members (SOW 9.1.3). Initial contact and coordination of all training requirements will be communicated through Geographic Solutions' lead trainer (SOW 9.1). Designated AWI staff will provide valuable input to help Geographic Solutions create the necessary courseware as well as training agendas and other peripheral materials (SOW 9.1.22).

End User training will be conducted in alignment with the scheduled project phases and the users that will be impacted (SOW 9.1.4).

Phase One, scheduled for the end of fiscal year 2010-2011, will involve end users associated with the Florida Unemployment Internet Direct (FLUID) and the Florida Continued Claims Internet Directory Systems. Significant resources will be utilized to provide timely training prior to system deployment (SOW 9.1.4).

Phase Two, scheduled for the end of fiscal year 2011-2012, will bring together system components scheduled for both Phase Two and Phase Three, such as the Call Center Interactive Voice Response System (IVR), the Benefit Overpayment Screening System, document imaging and scanning systems, business re-engineering analysis, the Internet/Intranet Appeals System, and the Claims and Benefits Mainframe System. Training sessions on these system components may involve large numbers of end users that were also participants in Phase One training. During this time period, the Geographic Solutions Training Department will also be responsible for any new hire or remedial training necessary from Phase One, as well as remedial and new hire training that will impact fiscal year 2012-2013 (SOW 9.1.22).

The current ITN calls for Phase One and Phase Two training to take place at one location in Tallahassee and Fort Lauderdale, and two locations in Orlando each of three cities (SOW 9.1.20). During the implementation of these training events, the total number of end users may dramatically increase from the participant numbers reflected here, but the proportion of participants to locations may appear similar to the following table. Training estimations are based on 20 end users per class. The Geographic Solutions Team, in order to achieve the goals of "just in time" training (SOW 9.1.14), will add one additional training location in Tallahassee and two in Orlando.

Phase One: 1,600 Agency staff. Each training class shall be 4 hours in duration, 2 training classes per

day, 10 training classes total per week per location. Total number of training sessions required to complete Phase One: 80

Phase Two and Three (Combined): 1,600 Agency staff. Each training class shall be 2.5 days in duration, 2 training classes per week per location. Training will involve remedial training, new hire training,(SOW 9.1.21 and 9.1.23) as well as training system modules such as GUS, VOS (Services for Individuals, Services for Employers, and Services for Staff), the IVR, the Benefit Overpayment Screening System, Internet/Intranet Appeals System, and Benefits Mainframe System. Total number of training sessions required to complete Phases Two and Three: 80.

Note: Training for Phases 2 and 3 will require additional training locations in each of the cities in order to complete training within specified time frames.

Note: The weekly estimations are assuming a five day work week and sessions running concurrently at each location.

These statistics do not include additional staff, new hires recruited in the interim process, or additional days for remedial training (SOW 9.1.21 and 9.1.23). Any of these factors would increase the number of days markedly. In order to provide a successful training experience for all participants and to ensure that all participants are properly trained, the following process shall be initiated:

5.2.b.i Training Needs Assessment

In the initial planning stage, staff members of the Geographic Solutions Training Department will meet with Agency staff members to review training content and to coordinate dates, times and location availabilities for the training process (SOW 9.1.3 and 9.1.32). A training needs assessment document will be created, outlining a proposed agenda, staff assignments, training handouts and resources, training content, testing and evaluation (SOW 9.1.5). This document will be made available to all staff members with a vested interest in the training process.

The Geographic Solutions Training Department will work closely with Agency staff members to determine class length and location availabilities (SOW 9.1.5). Geographic Solutions will work to coordinate all training sessions so that they are delivered in a timely manner at each location (SOW 9.1.4). The training will occur just prior to system deployment so that participants do not forget any system details that often occur between training and actual hands-on system use (SOW 9.1.14). Training content will be determined based on input from Agency staff members. However, these concepts will be addressed as part of the needs assessment document:

- The training curriculum will be developed based on site functionality (SOW 9.1.6).
- It will be instructor-led, using computer and Internet connectivity (SOW 9.1.8) .

- It will be delivered using step-by-step and system instructions that include data field options and status updates (SOW 9.1.10).
- It will be developed with sound adult learning principles and SMART objectives (Specific, Measurable, Attainable, Relevant and Time-Bound) (SOW 9.1.9).
- Training goals and guidelines will follow principles stressed in training programs administered by the American Society for Training and Development (ASTD) (SOW 9.1.7).

5.2.b.ii Training Sessions

Before the first Florida UI training classes commence, trainers from the Geographic Solutions Training Department shall have an opportunity to evaluate each physical location to make certain that:

- Internet connectivity is available. The training classes will be conducted using a training site created in a non-production environment (SOW 9.1.1.1). The training site will only be accessible through the Internet (SOW 9.1.1.2). The training site will contain fictitious data for security purposes but it will function exactly as the production site (SOW 9.1.12). In this manner, participants will have the ability to practice on a site that mirrors the actual UCCBIS production site, but it will not contain any real data that would jeopardize security concerns (SOW 9.1.1.3).
- All computers are functioning properly for each participant. Part of the learning process requires that participants have an opportunity for hands-on learning. If a handful of participants are not able to practice with the training site, their experience will be hampered and it could impact their learning curve (SOW 9.1.12).
- All projectors and the primary computer, which will be used by the trainer, are functioning properly. If there are issues with the projector, this could jeopardize critical time and impede the training process.

At the end of each session, participants will have a general review of the material covered. This will include a final opportunity to ask questions. In order to test participant knowledge of the system, they will be provided a computer-generated assessment that will test the participants on their general knowledge of the material covered during the session (SOW 9.1.27). The assessment will be created using software from a learning management system administered by Geographic Solutions, which will be custom designed with questions created from the training curriculum (SOW 9.1.29). Questions will be created based on Bloom's Taxonomy learning objectives, in the categories of knowledge, comprehension, application, analysis, synthesis, and evaluation.

The final task of each class will be the distribution of evaluation forms (SOW 9.2.1.7). Participants will be asked to evaluate the course and the trainer(s). These evaluations can be anonymous to ensure that the responses are as truthful as possible.

The Geographic Solutions Team Training Department shall be responsible for training the following groups:

- **Functional End Users** – The Training Department will conduct training of functional end users, including supervisors, specialists and support staff (SOW 9.1.2.2).
- **Super Users –** The Training Department will conduct training of super users; this target audience includes functional and technical analysts, trainers, key agency staff, and other staff as identified by the Agency (SOW 9.1.2.3).
- **Customer Service/ help desk/ user support specialists –** The Training Department will develop and implement a customer service, help desk, and user support specialist training program that ensures designated staff members are capable of providing effective help desk and user support services. This training will include customer service, user support, and help desk management; customer relations; face-to-face and remote diagnosis and troubleshooting techniques; knowledge of the proposed UCCBIS solution application architecture; application security and access controls; software maintenance; and reporting, ad hoc querying, and data warehousing (SOW 9.1.2.4).
- **Technical Support –** The Training Department will develop a training program for technical support. The training will cover all core module training plus knowledge and skills related to the UCCBIS system application architecture; UCCBIS Web services; firewall and network infrastructure

support; application security and access controls; software maintenance; and printing (SOW 9.1.2.5).

- **Document imaging/scanning –** The Training Department will develop a training program to instruct Agency staff on how to use the document imaging, and scanning systems. This training session may be part of another session based on deliverables deadlines.
- **IVR Training** – The Training Department will develop a training program that focuses on call center staff that is dedicated to the Interactive Voice Response (IVR) system. This training session may involve a significant number of staff, especially in the Orlando area, and may be in conjunction with other sessions based on deliverables deadlines. Discussions regarding incorporating this training with any other sessions will be addressed in future meetings between the Training Department and Agency staff.

5.2.b.iii Post End User Training Review

As training sessions are completed the Geographic Solutions Training Team, in conjunction with the Agency, will review participant assessment results to ascertain score outcomes (SOW 9.1.27). Evaluations and any other resources will also be reviewed as part of the training process (SOW 9.1.29). Within the first five days of training, a report will be submitted to Agency representatives for review (SOW 9.1.2.7). Agency staff and training staff from Geographic Solutions will meet and discuss training outcomes, and determine if any changes need to be made with the training process. When all training sessions for the end users are completed, a formal report drafted by the Geographic Solutions Training Department will be submitted to the Agency for review (SOW 9.1.3). The report will include complete evaluation and assessment results of all training classes. Agency staff will be responsible for providing useful feedback on the training experience. Once the Agency staff members sign off on the report, the contractual training will be considered done.

5.2.c. User Documentation (Approach & Methodology)

Requirement: Tab 5.2.c. *Describe the proposed approach and methodology for the development of user documentation.*

Geographic Solutions provides user documentation pertaining to every aspect of the proposed solution. This documentation falls generally into three categories: user manuals, system videos, and online help text. These options will be reviewed in the following sections.

5.2.c.1 Documentation

All Geographic Solutions software is supported by full documentation, including Staff, Employer, Individual, and Administrative User Guides, the Online Project Communication (OPC) System Guide, training course material, and Quick Reference Guides. Editable, electronic copies of all training guides will be provided to the Agency on CD-ROM, via a File Transfer Protocol (FTP) site, or other mutually acceptable means. The user guides document every aspect of the system in detail, including screenshots and schematic diagrams of screens and processes.

Geographic Solutions has a full technical writing staff that is dedicated to creating procedural user documentation and software manuals for the proposed system. All user documentation is written with consideration of the user's readability level and follows a step-by-step process that mirrors real-life processes.

Geographic Solutions will provide user manuals for the proposed system prior to deployment for each of the required phases (SOW 9.2.1.1). These will be made available electronically and as printed copies. These are living documents and are revised, under change control, as appropriate through the life cycle of the project and as subsequent system upgrades require. They will be revised based on the results of the review and approval process (SOW 9.2.1.1).

5.2.c.2 Help Text and Videos

The proposed system will include an online embedded help function that is context sensitive and is located at the top of each page or adjacent to each relevant section in the system. Hundreds of unique help text records are used throughout the system, providing guidance to claimants, employers and staff users in tasks such as defining confusing UC terminology, completing forms for initial claims, assisting staff with review of claims data, or even assisting individuals with each crucial step in their unemployment claims process. System users may view help text for a page, or a specific section on a page, by clicking the question mark icons. A small pop-up window displays helpful information about accessing the system feature easily and effectively, as shown in the following figure:

The proposed system's interactive help text is primarily designed to assist the user in performing various functions throughout the system. However, it goes beyond step-by-step instructions; our help text provides context for users by defining unfamiliar terms and concepts, as well as providing examples on how to use a certain function in a way that will be meaningful and useful. In addition, the help text within the system can be customized during development to fit a client's needs.

Sample Help Text Window

Geographic Solutions can also provide customized videos for individuals, employers and Agency staff. These videos can provide additional training and information regarding crucial parts of the UCCBIS, and as remedial tools for seasoned staff or new hires. The videos will be located directly on the site and readily accessible to anyone. The only requirement is an Adobe Flash plug-in, which is available, by default, on most Windows computers. Agency staff may wish to discuss video options as an additional learning tool for each customer group.

5.2.d. Deliverables List

Requirement: ***Tab 5.2.d.*** *Provide a list of deliverables associated with the proposed project approach by project lifecycle phase.*

The following is a summary of the deliverables associated with the project approach be project lifecycle phase. For a detailed list of deliverables see Section 4. 3:

5.2.e. Service Level Agreement(s)

Requirement: ***Tab 5.2.e.*** *Service Level Agreements, in addition to those specifically defined in the functional and non-functional requirements identified in Attachment Q-System Requirements Response Matrix, and associated liquidated damages will be developed and finalized during contract negotiations.*

The staff at Geographic Solutions are dedicated to providing 24/7/365 service and exceptionally high service levels for our clients, with planned and agreed downtime that has minimal impact on business operations. Geographic Solutions welcomes the opportunity to review Service Levels beyond the non-functional service level requirements of Attachment Q. The following are the service levels Geographic Solutions supports for the Employ Florida Marketplace, and we would be happy to support similar levels for the new Florida UCCBIS if the Agency considers them appropriate:

- An average response time of 1-3 seconds for basic transactions such as insert, update, delete and queries from a single table.
- An average response time of 5-25 seconds for complex transactions such as multiple table updates and queries involving complex join and search conditions.
- An average response time between 5-200 seconds for generation of ad hoc reports, depending upon the complexity of the join and search conditions.
- An average response time of 5 to 20 minutes for generation of analytical reports, depending upon the number of records and search aggregation criteria.

All times are at the server.

5.3 Technical Description

5.3.a General System Architecture

Requirement: 5.3.a. *Provide a description of the General System Architecture of the proposed solution. Describe the benefits of this System Architecture and how it supports the objectives of the proposed UC solution.*

The GUS system employs a general System Architecture, which will be employed for the proposed solution. Details on this User-Friendly Application Architecture and System Architecture follow.

5.3.a.i Conceptual Architecture

Geographic Solutions' GUS solution is a Web-based system. Using the latest n-tier architecture, the system requires only that client workstations have an Internet or Intranet connection and a Web browser such as Microsoft Internet Explorer, Mozilla Firefox or other standards compliant browser. All of the Unemployment Compensation features will be available through the Internet, including tools for staff, claimants, and employers.

GUS has an n-tier system architecture where all operations are performed on the server side of the application. The n-tier architecture has emerged as the most flexible and advanced dynamic Web-based architecture currently available. In this architecture, the first tier is the presentation layer, more commonly known as the user interface. The second (middle) tier is the application layer containing the application logic and component services. The third tier is the database layer – the Relational Database Management System (Microsoft SQL Server) which handles the storage and retrieval of data used throughout the system. The n-tier application architecture provides excellent scalability for systems with a large number of concurrent users and improves flexibility compared to traditional two-tier client/server application architectures.

The UCCBIS GUS relational database structure permits rapid access to large amounts of data. The GUS relational database schema is normalized to the level of the 3rd Normal Form. This ensures the integrity of the data from the time a user initiates a request until it is recorded in the database. This schema facilitates systems integrations with a variety of data sources, including flat files, non-relational database management systems, and legacy systems.

5.3.a.ii Network Architecture

An advantage of the GUS architecture is that it removes the need for deploying applications to the client tier. All operations are performed on the server side of the application. The application will be hosted in the State of Florida's Southwood Shared Resource Center (SSRC) in Tallahassee. The exception to this is the *Agent* and *Supervisor* components of the [redacted] call management software on the Call Center workstations, and the [redacted] *ScanDox* enterprise document capture solution on the imaging workstations The call centers located in Tallahassee, Orlando, and Ft. Lauderdale will house the hardware that will be linked to the system in the SSRC via MY Florida Net.

Geographic Solutions proposes integrating the new UCCBIS with the existing Employ Florida Marketplace system at the database level. Key data tables in both systems will be shared continuously in real time. This proposal includes a high-speed, low-latency dedicated 1 Gigabit Virtual Private LAN Service. Communication link between the Geographic Solutions secure hosting facility in Palm Harbor, Florida and the SSRC, to replicate this data in real time. This link will also be used for replicating the UCCBIS database for disaster recovery purposes (See Section 5.3.e).

GUS uses Secure Socket Layer (SSL) to encrypt sensitive information. Using this technology, the GUS solution meets state and federal requirements for accessibility and privacy, including W3C, Bobby, and Section 508 of the Rehabilitation Act.

Proposed UCCBIS GUS System Architecture Diagram

A full inventory of the hardware and software to be included is outlined in Section 5.3.h and 5.3.i.

5.3.b Technical Architecture of Proposed Solution

Requirement: *Tab 5.3.b:* *Provide a detailed description of the Technical Architecture for the proposed solution. Describe the benefits of this Technical Architecture and how it supports the objectives of the proposed UC solution*

5.3.b.i Application Architecture

Geographic Solutions proposes the UCCBIS be constructed using a set of core proprietary software components known as the Geographic Solutions Unemployment System (GUS) Component Library. GUS is a sub-system of the industry leading Virtual OneStop Software Component Library and is a commercial-off-the-shelf (COTS) software solution that is easily implemented in a short timeline. These pre-built components are modular and can be easily added to or modified to accommodate the specific requirements of the new Florida UCCBIS.

Geographic Solutions develops and customizes GUS using Microsoft Visual Studio .NET 2010, a tool specifically designed to build sophisticated, dynamic Web applications. Geographic Solutions also employs Microsoft's Team Foundation Server for software version control. Geographic Solutions uses the following industry standard languages for development, configuration and customization of GUS:

- Visual Basic .NET 9.0 .Net 3.5 (VB.NET) – object oriented programming language
- ASP.Net 3.5 – server-side managed Web application framework
- Visual Basic Scripting Edition (VBScript) – active scripting language
- JavaScript – client-side scripting language
- Extensible Hypertext Markup Language (XHTML) – extensible markup language for Web pages
- Extensible Markup Language (XML) – Web services/data sharing with legacy systems
- T-SQL - Transact Structured Query Language – language used to communicate requests to the relational database system

5.3.b.ii Database Technical Architecture

GUS will support the objectives of the proposed UC solution by employing a robust SQL Server enterprise-class relational database system scaled to support tens of thousands of concurrent users, and managing instances in excess of 1 terabyte. As both the database and usage grow, the system can continue to perform efficiently, due to its scalable architecture and design. The UCCBIS GUS database runs on Microsoft's SQL Server Version 2005 on the Windows Server 2008 platform. The application interface to the database is structured query language (SQL). SQL statements are used for interactive queries for information from the relational database, and for gathering data for reports.

All confidential data files will be secured to restrict unauthorized access. The built-in authentication of SQL Server will prevent unauthorized access to data. Specific sensitive data will also be encrypted at database level. The database server will be configured to maintain its own set of user IDs and passwords separate from Microsoft Windows Server authentication. This adds a robust layer of protection required when storing sensitive data.

5.3.b.iii SSRC Technical Architecture

Geographic Solutions anticipates that the UCCBIS may serve tens of thousands of concurrent users. To accommodate this demand, Geographic Solutions proposes a dedicated server configuration, rather than sharing a server with other applications. We will maintain this dedicated server setup at SSRC. To achieve maximum performance, separate servers will be used for storing the backend database (a data server) and for accessing the Internet (a Web server). Geographic Solutions will assess the ability to employ components of the server equipment currently being used if practical; however, we are proposing high-end Dell high-speed Clustered Data Servers with EMC detached Storage Area Network (SAN) disk arrays. These systems use fiber optics communications between multi-channel disk controllers for maximum speed and efficiency. This network has the ability to scale performance to handle large volumes of client requests without creating unwanted delays.

The GUS software components will be installed on Windows Server 2008 systems running Internet Information Services 7. The database will be installed on Windows Server 2008 running SQL Server 2008 database servers that will communicate with the Web servers and a data warehouse server. A dedicated reports server will be used to increase the application's responsiveness to the intensive demands of the systems reporting users. Geographic Solutions will provide websites and databases for training, testing, and user acceptance testing in addition to the production site. This will prevent users from corrupting or affecting the performance of the live system when training or testing is underway.

Systems that support mission-critical applications such as the UCCBIS must run 24/7/365. For this reason, full redundancy shall be provided for all of the production servers. Clustering will be used to enable database servers to be managed as a single system for redundancy, high availability, and manageability.

Performance will also be enhanced by our use of high-speed Dell Web servers which use Radware network load balancing appliances to balance the incoming Web requests among multi-node clusters and control outbound traffic for best-route destination path selection. This equipment will be tuned to host the UCCBIS software and will provide server response times of less than one second on average.

Imaging Technical Architecture Diagram

A specially designed iSynergy electronic repository for storing all unstructured data will be used to meet the imaging and document workflows. Unstructured data includes scanned document images, faxes, PDF, Word documents, Excel spreadsheets, and any other type of electronic file that you cannot easily find in a database. This electronic repository will allow all users to have one click access to all the documents required for completion of their work processes. The document retrieval is automated by seamlessly integrating iSynergy with the GUS application. Once completed, users will have the ability to instantly access documents related to claims, appeals, adjudication, or any other AWI processes that require document access.

5.3.b.iv Call Center Technical Architecture

The [redacted] solution has a library of off-the-shelf applications, host interfaces, and telephony interfaces that comprise the core software utilized in its IVR, ACD, and CTI systems. This software package is easily modified to support custom applications and requirements.

The IVR, ACD, and CTI systems share telephony connectivity, host interface connections, and are integrated to provide the ultimate in virtual hold, multimedia contact queuing (voice messages left while in queue, emails to customer service, and Web chats with customer service), outbound dial notification, IVR call tracking and logging, call monitoring, and recording. Display screens for CSR interaction tracking, real time monitor with user defined dashboard graphics, and comprehensive historical statistics reports give supervisors a broad set of tools to monitor CSR status and activities. Supervisors may be local, in a remote office or branch, or working from home using a broadband VPN connection.

Call Center Technical Architecture Diagram

5.3.c Functional Requirements (FR.0001–FR.1040)

Requirement: ***Tab 5.3.c*** *- From a technical perspective, describe how the proposed solution will satisfy the functional requirements of the proposed UC solution as specified in the systems requirements matrix.*

Note: *The following sections outline in detail from a technical perspective how our proposed solution will satisfy the functional requirements of the ITN (See Appendix 9.1 for larger images of the following Flow Diagrams):*

5.3.c.i Claims – General (FR.0001 – FR. 0214)

Claims – General (FR.0001 – FR.0052)

GUS addresses these functional requirements by creating work items for situations that will require a staff member to look at the claim and determine what needs to be done next. The workflow component of GUS ensures that the work item is routed to the correct unit or person to handle the issue. GUS has panels that allow administrators to construct configurable matrices for different program types.

Staff members and claimants are able to readily see the deductions made from each week whether it is from earnings, pensions, child support, taxes, etc. Any number of payments can be made on a single night. Claimant information sites allow them to change their method of payment and other personal information without user intervention.

GUS contains data elements that maintain a claimant's work search requirements and assure that as long as those requirements are being met, the claimant will be paid without any user intervention. The Eligibility Review (ER) process in GUS tracks claimants and sees that they have an ER interview on a periodic basis. The system recognizes those claimants such as those in approved training to be exempt from ERs.

GUS's link to Employ Florida Marketplace assures that claimants are exposed to potential job opportunities, and that they are always assigned to the correct workforce center based on their zip code. Workforce registration is assured in GUS. GUS includes a workflow engine allowing users to create work items, manage

work queues, and route work items between queues according to definable rules. GUS enables generic work queues to be established, as appropriate, to support the processing of unknown, misrouted, or incomplete work items.

GUS includes clearly defined roles and authorities for all users; every user will be assigned to a specific role. GUS includes Case and Document Management functions to manage related work components and artifacts, and indexes and makes available online or in electronic format all incoming and outgoing correspondence.

GUS enables employers, claimants, and authorized third-parties to create and maintain system accounts, which will be protected by appropriate security credentials, and all work items will be associated to those accounts. GUS maintains balances for all accounts and automatically recalculates balances based on the reversal or modification of prior actions. GUS also allows all claimants, employers, and authorized third parties to choose the option of electronic communication.

GUS allows email as an optional communication method for external parties (claimants, employers, and authorized third parties). Communication will be in accordance with the preferred method such as email, mail, fax, or paper. GUS also categorizes sensitive information and does not allow sensitive information to be sent via email. GUS notifies claimants that documents are ready to be viewed using their online accounts. GUS controls access to documents using appropriate security credentials.

GUS traces all claims, claim weeks, determinations, and payments to funding sources and Employer chargeability records. GUS creates and maintains an online history of all activities related to a claimant, employer, or authorized third party to include claims, claim weeks, determinations, and decisions.

GUS can create a work item if the system determines that federal wages cannot be added to a claim (FR.0001). GUS stores lag quarter wages associated with a claim (FR.0002). GUS generates a notification to the claimant that their claim has been cancelled, as appropriate (FR.0003). GUS creates a work item for IB-6 discrepancies (outgoing) by discrepancy code (FR.0004) and creates a work item for redeterminations with no employer name (entry errors) (FR.0005). GUS creates a work item when high quarter wages are greater than $99,999.99 and the claim is ineligible (FR.0006). GUS creates a work item for IB-4 transactions for which responses were not sent to the requesting state (by reason code for not sending) (FR.0007). GUS creates a work item for responses received from federal employers (FR.0008). GUS creates a work item for initial determinations if wages are rejected (FR.0009). GUS creates a work item for incoming wages not posted due to errors (FR.0010). GUS creates a work item for monetarily ineligible claims for which a UCB-13 has been filed (FR.0011). GUS creates a work item for SSNs with an IB-4 sent but no response received within an administrator configurable number of days (FR.0012). GUS creates a work item for redeterminations where wages are rejected (FR.0013).

GUS creates a work item for IB-6 discrepancies (incoming - by state and SSN) for each discrepancy code (FR.0014). GUS creates a work item for discrepancies between IB-4 wage information sent to another state and IB-5 information received from the other state (FR.0015). GUS associates a CWC wage transcript with correspondence indicating that the claimant is eligible for a CWC claim in another state (FR.0016). GUS can publish a CWC wage transcript with the associated correspondence indicating that the claimant is eligible for a CWC claim in another state (FR.0017). GUS creates a work item to authorize the payment of IB-6 billings to other states (FR.0018). GUS pre-authorizes the payment of IB-6 billings to other states without user intervention (FR.0019). GUS creates and maintains administrator configurable eligibility questions for each claim program type (UI, UCX, UCFE, CWC, STC, TRA, ATAA, DUA) (FR.0020). GUS identifies unemployment compensation services as talliable or non-talliable based upon U.S. Department of Labor guidelines such as completed Eligibility Review Process, processed initial claim, adjudicated claim, and so on (FR.0021).

GUS determines the number of work search contacts a claimant is expected to make each week without user intervention (FR.0022). GUS displays benefit payment details for a claim, such as date, instrument, and amount (FR.0023); and displays the details of how a payment was calculated including the deductions made from the WBA (FR.0024). GUS processes multiple benefit payment transactions on a single business day to a claimant (FR.0025) and provides benefit payments to claimants without user intervention (FR.0026). GUS allows claimants to modify the preferred payment method (FR.0027) and gives claimants the option of having federal taxes withheld from their benefit payments (FR.0028). GUS determines the schedule for Eligibility Review Process reviews for each claimant based on administrator configurable business rules (FR.0029) and determines a claimant's continuing eligibility for benefits for each program type and each funding source without user intervention (FR.0030). GUS identifies a claimant as a priority Eligibility Review Process candidate without user intervention (FR.0031). GUS maintains an administrator configurable timeframe to

include a claim in the Eligibility Review Process (FR.0032). GUS allows a claim to be exempted from inclusion in the Eligibility Review Process (FR.0033). GUS maintains an administrator configurable timeframe to generate a reminder to the claimant for a claim lacking a response to the Eligibility Review Process form (FR.0034).

GUS enables users to indicate that the Eligibility Review Process is complete for a claim (FR.0035) and removes the Eligibility Review Process pending indicator without user intervention (FR.0036). GUS maintains an administrator configurable timeframe to prevent benefits without user intervention for a claim lacking a response to the Eligibility Review Process form (FR.0037). GUS identifies a claim as scheduled for a Reemployment Eligibility Assessment (REA) without user intervention via system interface with WorkForce Services (FR.0038). GUS enables a user to identify a claimant as dislocated (FR.0039). GUS determines which Unemployment Compensation services are available to an external user (FR.0040). GUS associates a WorkForce office with a claimant (FR.0041). GUS displays a list of potential WorkForce offices that a claimant may select from to be associated with the claimant (FR.0042).

GUS enables a system administrator to maintain WorkForce office details (FR.0043). GUS assigns a claimant to an AWI cost center without user intervention (FR.0044). GUS associates claim information received via system interface from WorkForce Services to a claim without user intervention (FR.0045). GUS determines if a claimant is required to register for WorkForce Services without user intervention (FR.0046) and determines if a claimant is eligible to receive Veteran Services without user intervention (FR.0047). GUS creates a work item when a claim is associated with a priority ERP that is not issued (FR.0048) and creates a work item when a claim is associated with an ERP that is rejected as a duplicate, no matching claim, or the claim is exempt (FR.0049). GUS determines which options are available to the external user. For example, file a claim, claim weeks, view correspondence, respond to correspondence, file an appeal or view claim status (FR.0050). GUS re-determines benefits, without user intervention, upon completion of a monetary re-determination (FR.0051) and re-determines benefits, without user intervention, when claim wage records are modified (FR.0052).

Claims – Submit Claim (FR.0053 – FR.0159)

GUS displays questions and stores the answers pertaining to Disaster Unemployment Assistance (DUA) claims within the system. GUS determines whether the claim is DUA or DUA-related. The logic of GUS tells the system who should receive a determination or redetermination. It associates account numbers with employer names and attaches them to the claim.

GUS interfaces with Interstate Connection Network (ICON) to provide the full range of services. It adds federal wages and those received from other states to the claim without intervention. It creates issues for separation reasons from transferring federal employers. GUS determines whether military wages are assignable; if not, a work item is created. Work items are created whenever UCFE or UCX wages are not received in a timely fashion.

Claims can be suspended and safeguards are in place to prevent suspended or un-submitted claims from being deleted without some confirmation that it is warranted. A master list of unresolved issues will always be available to administrators. Agency rules that define the conditions for resolving issues can be configured in GUS.

As long as real-time access is available, GUS verifies through the U.S. Social Security Administration if the numbers being used are legitimate. Whenever it is discovered that there is no match for these numbers, the claim can be stopped until clarification or confirmation can be accomplished. Data to confirm a non-citizen's right to work in the US is transmitted to Immigration and Customs Enforcement to determine if they have proper documentation to work in this country. GUS will capture and securely store a claimant's banking information when direct deposit is selected as their payment option. It will also create a file to "pre-note" the account to verify it is legitimate.

Based on the claimant's entry of work history and occupation, an O*NET occupational code(s) is assigned to the claimant. Claimants have a unique identifier that is used to both access their information and protect their Social Security number from being overexposed. Employers can create accounts using their account number and password or PIN number.

GUS contains an IVR initial claims component which allows claimants to file their claim completely on the IVR. Using voice/speech recognition and a variety of questions, a complete claim can be taken and

submitted. (More often, IVR will be used to certify weekly claims or as a preliminary part of a staff-assisted call center claim.)

Proper questioning allows GUS to determine whether a claim is a new, additional, reopened, or transitional claim, without intervention. Effective dates are set by GUS according to AWI business rules, but can be changed when the need arises. Proper fund charging and program code assignment are accomplished by base period employer account information and cannot be manipulated. Questioning also determines whether a claim is a UCFE, UCX, CWC or joint claim.

GUS contains the definition of the Florida base period and can be programmed to accommodate an alternate base period if/when Florida enacts one. If the claim effective date is changed to one in another quarter, GUS redetermines the claim using the new base period. GUS attaches the employers and base period wages to a claim by systems interface without intervention. Similarly, wages received through ICON are added to the claim without intervention. If problems arise in that process, work items are created and routed to the proper unit. GUS asks the basic questions that determine a claimant's eligibility for benefits.

Issues are always associated with a claim and some are attached without staff intervention based on the claimant's answer to questions. Hits from the Florida Department of Corrections interface generate issues and work items without intervention. Fact finding interviews and their associated activities are tracked and recorded, including those associated with labor disputes.

The employer dashboard allows the employer to provide information for the filing of claims in a mass layoff situation. This information can be updated and have effective dates assigned to the claim whenever it is appropriate. The claimant's work history is captured at the filing of the initial claim. It is displayed on the claim but can be modified at any time if more correct data is discovered.

Hits from new hire data received from DOR result in issues and work items being created. Staff members are able to investigate the data to determine if an overpayment is in order.

GUS's TRA subsystem is able to determine if a claimant meets the requirements for TRA or RTAA entitlement. It also allows a claimant to make a choice about the program from which to receive benefits.

Eligibility to receive UI, STC, DUA, EB, EUC and FAC can all be determined in GUS without user intervention. This is accomplished through the administration program matrix that defines the criteria for each claim type.

GUS has a full interface with ICON and the Federal Centralized Claims Center (FCCC). Data can be submitted via the Internet application or through staff-entered transactions. The wage and separation data received from FCCC for UCFE and UCX claims are uploaded to the claim. Once attached to the claim, monetary redeterminations are generated as the result of a change in base period wages. Any change in base period wages also changes the percentage of charges for which each employer is responsible. The employer charge percentage is always calculated by GUS without intervention.

The claimant's benefit rights information is presented at the end of the claim filing. GUS will not allow the claim to be submitted until the claimant certifies he has read and understands the information.

GUS creates and maintains administrator configurable DUA eligibility questions (FR.0053) and enables entry and storage of responses to claimant DUA eligibility questions (FR.0054). GUS determines the eligibility status of an STC claimant using administrator configurable STC eligibility criteria (FR.0055). GUS captures and records information to indicate the adversely affected party or parties for each determination or redetermination (FR.0056). GUS matches an employer account number to an Unemployment Tax (UT) account number located in DOR's tax system (FR.0057). GUS adds federal wages to a claim without user intervention (FR.0058) and enables an authorized user to add federal wages if GUS determines that wages could not be added to the claim (FR.0059). GUS enables users to add an issue indicator, without user intervention, if a non-monetary issue is identified on the response from the federal employer received through ICON (FR.0060). GUS notifies the user in an administrator configurable number of days when no response has been received from a federal employer (FR.0061).

GUS determines, without user intervention, if military wages can be added to a claim (FR.0062), creates a

work item if the system determines that military wages cannot be added to a claim (FR.0063), and enables an authorized user to add military wages if the system determines that wages could not be added to the claim (FR.0064). GUS notifies the user in an administrator configurable number of days when no response has been received from a military employer (FR.0065) and notifies the user that an amended response has been received from the federal employer (FR.0066). GUS notifies the user that an amended response has been received from the military employer (FR.0067).

GUS provides the ability to suspend a claim (FR.0068). GUS enables a system administrator to maintain a master list of issues for claims (FR.0069) and enables a system administrator to establish administrator configurable business rules that define the impact upon a claim, for each issue (FR.0070). GUS enables a system administrator to define business rules identifying the conditions required for the removal of an issue associated to a claim, for each issue (FR.0071). GUS provides a reminder to a claims taker prior to deleting an un-submitted unemployment benefit application that was previously suspended by a claims taker (FR.0072). GUS allows an authorized user to override the systematic deletion of an un-submitted unemployment benefit application marked for deletion (FR.0073).

GUS enables a user to enter the form of identification provided by a claimant (FR.0074). GUS verifies a user's driver's license number via system interface with the Florida Department of Highway Safety and Motor Vehicles, prior to the submission of a claim (FR.0075). GUS verifies a claimant's Social Security number via system interface with the Social Security Administration, prior to the submission of a claim (FR.0076). GUS verifies a claimant's bank account number and routing number via system interface (FR.0077). GUS enables a user to associate multiple occupational codes to a claimant (FR.0078). GUS enables the creation and maintenance of an employer record (FR.0079). GUS associates U.S. Department of Labor O*NET occupation codes received via system interface to a claimant (FR.0080). GUS initiates an Online Primary Verification with the Immigration and Customs Enforcement (ICE) without user intervention (FR.0081).

GUS assigns a unique identifier to each claim (FR.0082). GUS associates claims with an external customer account (FR.0083) and enables an external user to certify that they are the claimant (FR.0084). GUS enables a claimant to file an initial claim for unemployment compensation benefits (FR.0085). GUS routes a claim to the appropriate business unit based upon claimant responses to claim intake questions (FR.0086). GUS uses data obtained from a claimant via the Interactive Voice Response (IVR) system to complete an application for unemployment benefits without user intervention (FR.0087). GUS determines the initial claim type (new, additional, reopen) for a claim based upon prior claim history without user intervention (FR.0088). GUS determines the funding source(s) for a claim without user intervention (FR.0089).

GUS updates a claim effective date when the claim involves Emergency Unemployment Compensation without user intervention (FR.0090) and updates a claim effective date when the claim involves Extended Benefits without user intervention (FR.0091). GUS indicates a claimant's participation in approved training (FR.0092). GUS displays claim intake requirements to a claimant (FR.0093) and enables a system administrator to define claim intake requirements (FR.0094). GUS creates and maintains administrator configurable questions for each claim program funding source (UI, EB, EUC, FAC) (FR.0095). GUS determines if a claimant meets the eligibility requirements to file a claim in Florida without user intervention (FR.0096).

GUS allows a user to update the claim program type after the initial determination of claim program type by the system (FR.0097) and determines the program type of the claim being filed without user intervention (FR.0098). GUS assigns multiple claim program types for a single claim without user intervention (FR.0099), and determines and presents valid claim filing options without user intervention (FR.0100). GUS determines if a claimant meets the specific eligibility requirements to file a military (UCX) program claim without user intervention (FR.0101). GUS determines if a claimant meets the eligibility requirements to file a Federal (UCFE) program claim without user intervention (FR.0102). GUS determines if a claimant meets the eligibility requirements to file a Combined Wage Claim (CWC) program without user intervention (FR.0103).

GUS determines and presents interstate filing options to a claimant based upon claimant provided claim data, employment records, information obtained via system interface with the ICON system HAND transaction and wage records (FR.0104). GUS determines the base period of a claim without user

intervention (FR.0105) and determines the alternate base period of a claim without user intervention (FR.0106). GUS re-determines benefits, without user intervention, when the claim effective date is modified (FR.0107) and determines the claim effective date for each submitted claim without user intervention (FR.0108). GUS determines the latest date an application for unemployment benefits may be submitted to retain the claim effective date without user intervention (FR.0109). GUS can be configured to present employment records and wages within the base period of a claim (FR.0110) and can be configured to present employment records and wages outside of the base period of a claim (FR.0111).

GUS allows entry of wage records to be associated with a claim (FR.0112). GUS associates claim information received via system interface from the Interstate Connection system to a claim without user intervention (FR.0113). GUS allows completion of an application for unemployment benefits when a claimant was determined monetarily ineligible in another state (FR.0114). GUS enables authorized users to determine the questions required to assess benefit eligibility based upon administrator configurable business rules (FR.0115). GUS applies the impact of an associated issue to a claim without user intervention (FR.0116). GUS removes issues and the associated impact from a claim without user intervention (FR.0117). GUS associates issues with a claimant (FR.0118) and assigns issues associated with a claimant to a claim, without user intervention (FR.0119).

GUS identifies a claimant as incarcerated without user intervention (FR.0120) and matches claimant records with incarceration information obtained via system interface with the Florida Department of Corrections, without user intervention (FR.0121). GUS enables a user to record and track activities associated with a fact finding (FR.0122) and enables the entry of claim fact finding relating to a Labor Dispute when a claim, claimant and/or wage record associated to an active Labor Dispute is involved in determining claim filing eligibility (FR.0123). GUS enables employers to facilitate the filing process for claimants affected by a mass layoff (FR.0124). GUS updates a claim effective date when the claim is related to a Mass Layoff without user intervention (FR.0125). GUS associates employment records obtained via system interface with a claim, without user intervention (FR.0126). GUS allows users to select from the results of an employer search one or more specific employer record(s) to associate with a claim (FR.0127). GUS enables modification to the start and end employment dates on an employment record (FR.0128). GUS associates employer new hire information received via system interface from the Department of Revenue to a claim (FR.0129).

GUS enables a user to associate issues to a claim (FR.0130) and can associate issues for a claim without user intervention (FR.0131). GUS enables entry of claim fact finding when a claimant indicates that they did not return to work as scheduled for any reason other than a lack of work (FR.0132). GUS allows a claimant to select to receive either regular UC or TRA benefits (FR.0133) and can determine if a claimant meets the eligibility requirements to file Reemployment Trade Adjustment Assistance (RTAA) program claim without user intervention (FR.0134). GUS determines if a claimant meets the eligibility requirements to receive Extended Benefits (EB) without user intervention (FR.0135). GUS determines if a claimant meets the eligibility requirements to file a Short Time Compensation (STC) program claim without user intervention (FR.0136). GUS determines if a claimant meets the eligibility requirements to file a Disaster Unemployment Assistance (DUA) program claim without user intervention (FR.0137). GUS determines if a claimant meets the eligibility requirements to file a Training Readjustment Act (TRA) program claim without user intervention (FR.0138). GUS updates the claim effective date when the claim involves Disaster Unemployment Assistance related benefits without user intervention (FR.0139). GUS provides the ability to update a claim effective date when the claim involves STC benefits without user intervention (FR.0140).

GUS enables an authorized user to override the claim eligibility status for each program type of claim (UI, UCX, UCFE, CWC, STC, TRA, ATAA, DUA) (FR.0141). GUS enables an authorized user to remove issues and the associated impact from a claim (FR.0142). GUS allows revisions to application responses prior to final submission (FR.0143). GUS determines if a claimant meets the eligibility requirements to file a Regular (UI) claim without user intervention (FR.0144). GUS determines if a claimant meets the eligibility requirements to receive Federal Additional Compensation (FAC) benefits without user intervention (FR.0145). GUS determines if a claimant meets the specific eligibility requirements to receive Emergency Unemployment Compensation (EUC) benefits without user intervention (FR.0146). GUS associates a comment with a monetary determination (FR.0147). GUS determines the charge percentage for each base period employer associated with a claim (FR.0148).

GUS determines whether or not military or federal wage records received via system interface with the Federal Centralized Claims Center can be assigned to a claim (FR.0149) and associates such assignments with a claim, without user intervention (FR.0150). GUS associates Florida wage records obtained via system interface with the Florida Department of Revenue with a claim, without user intervention (FR.0151). GUS sends a request for military wage and separation information via system interface with the FCCC without user intervention (FR.0152). GUS sends a request for military wage and separation information via system interface with the FCCC (FR.0153). GUS sends a request, via system interface with the FCCC, to confirm that federal wages are available to be assigned to Florida without user intervention (FR.0154). GUS enables a user to send a request, via system interface with the FCCC, to confirm that federal wages are available to be assigned to Florida (FR.0155). GUS creates, via system interface, a Federal Wage and Separation (UCFE) data transaction for the Interstate Connection system without user intervention (FR.0156). GUS creates, via system interface, a Federal Wage and Separation (UCFE) data transaction for the Interstate Connection system (FR.0157). GUS processes a claim, without user intervention, based upon the satisfaction of administrator configurable business rules, also called a 'no touch' claim (FR.0158). GUS enables a claimant to confirm that the claimant has reviewed and understands the Benefit Rights Information (FR.0159).

Claims – Review Filing Options (FR.0160 – FR.0164)

GUS collects and transmits to ICE all of the pertinent information for assuring that non-citizens are authorized to work in the United States. When returned information reveals a problem with verification, GUS creates a work item to be routed to the specialized claims taker who will resolve the issue. Any issue created during the initial claim process creates a work item that is routed to a claims taker. If the State chooses to review each claim before submitting it, any answer entered by the claimant can be changed by the claims taker prior to submittal.

GUS generates, without user intervention, a notice to claimants requesting identifying information based upon the application of administrator configurable business rules (FR.0160). GUS associates a claimant's work status obtained via system interface with the Immigration and Customs Enforcement (ICE) without user intervention (FR.0161). GUS creates an Online Secondary Verification response work item for a specialized claims taker (FR.0162). GUS enables a claims taker to update a submitted claim (FR.0163). GUS routes a work item to a claims taker for a claim that fails to meet administrator configurable business rules without user intervention (FR.0164).

Claims – Process Claim (FR.0165 – FR.0171)

GUS always identifies the employer with the latest date of separation on the work history as the separating employer. All base period employers are clearly identifiable on the claim. Effective dates of claims can always be modified in GUS. GUS also calculates whether or not the claimant has earned the re-qualifying amount of seventeen times his weekly benefit amount. Since GUS is integrated into the workforce engine for Employ Florida Marketplace, Job Service registration is assured as well as the transfer of any other pertinent information for registration purposes.

GUS identifies an employer associated with a claim as the separating employer (FR.0165). GUS identifies an employer associated with a claim as a base period employer (FR.0166). GUS identifies wage records associated with a claim by source (FR.0167). GUS enables a user to modify the claim effective date for an un-submitted application when a claimant was determined monetarily ineligible in another state (FR.0168). GUS calculates the Weekly Benefit Amount (WBA) and determines if the claimant meets re-qualifying requirements for a claim (FR.0169). GUS provides the ability to provide Job Service registration information to Workforce Services via the Employ Florida Marketplace (EFM) interface (FR.0170). GUS transmits, via system interface, a claimant's veteran and spouse information to Workforce Services via the Employ Florida Marketplace (EFM) interface (FR.0171).

Claims – Process UCB-13 (FR.0172 – FR.0186)

Requests for additional wage information, UCB-13, can be completed by claimants either online, via the IVR, or through the call center. When such requests are made, work items are created and routed to the Wage Determination Unit.

Previously unreported wages that are entered into the wage file during a claim series are automatically attached to the claim without staff intervention. When missing wages are found, they are entered through a

panel. They are attributed to the appropriate quarter and employer. They are either reviewed and submitted, or submitted without review. After submittal, the new wages create a monetary redetermination. The original determination remains as a document in GUS. The redetermination does not replace the original.

The redetermination can result in new weekly and maximum entitlements and new percentages of charges for each employer. Therefore, new notifications are sent to the base period employers and the claimant with each redetermination that is done. When no additional wages are found, the claims taker can generate a Disposal Letter that is contained in GUS to notify the claimant of the findings.

GUS enables claimants to request additional wage information associated with a claim (FR.0172). GUS creates a work item when a request for additional information is made (FR.0173). GUS adds wage records to a claim without user intervention (FR.0174). GUS adds wage records to a claim (FR.0175). GUS identifies wage records as "used" without user intervention (FR.0176), prevents used wage records from being reused on another claim (FR.0177), and removes the "wages used" indicator for wage records without user intervention (FR.0178). GUS allows a user time to delete a wage determination prior to publishing the wage determination (FR.0179). GUS prevents changes to an original wage determination (FR.0180) and prevents the deletion of an original wage determination (FR.0181). GUS enables updates to an employer's percentage of charges for a claim (FR.0182). GUS issues a Wage Transcript to the claimant when wages associated with a claim are updated (FR.0183) and issues a Disposal Letter to the claimant when no action can be taken on a Request for Reconsideration of wages on a claim (FR.0184). GUS allows a user to suppress the publishing of a wage determination (FR.0185) and updates employer notification when wages are removed from a claim (FR.0186).

Claims – Process Quarterly Billing Out – Outgoing Bill for Incoming Wages (FR.0187 – FR.0214)

GUS contains a tracking element that alerts staff when wages have not been received in a timely fashion. Re-requests also create a work item to staff. GUS creates IBIQ, SIDI and HAND requests for information without user intervention. It also associates the returned information with the appropriate claimant. These requests can also be made by staff members using panels within GUS.

For the few states that still require an IB-1 form to be completed, GUS contains an IB-1 template for completion and transmission by either the system or a staff member. ICON transmissions of data requests for UCFE, UCX and CWC (IB-4) information are done without user intervention based on the information gleaned from the initial claim process. Duplicate IB-4's are identified and work items created. Name matches are performed on outgoing IB-4 requests.

Reports of Use of Transferred Wages (IB-5) are available either as system generated or by staff entry. Memorandums (IB-13) are also created by either method as are Withdrawn/Invalid Claim (WIC) transactions. The report of Combined Wage Claim Charges on Transferred Wages (IB-6) is created either by system generation or user entry. A template allows for the creation of an IB-14 transaction into ICON.

GUS notifies users in an administrator configurable number of days of the need to re-request wages from other states/territories (FR.0187) and notifies the user of re-requests for wages from another state (FR.0188). GUS enables the creation, via system interface, of an Interstate Claim and Wage Inquiry (IBIQ) transaction for the Interstate Connection system without user intervention (FR.0189). GUS associates claim information received via system interface from the Interstate Connection system to a claim without user intervention (FR.0190). GUS creates, via system interface, of a State Identification Inquiry (SIDI) transaction for the Interstate Connection system without user intervention (FR.0191). GUS creates, via system interface, an Interstate Claim (IB-1) transaction for the Interstate Connection system without user intervention (FR.0192). GUS creates, via system interface, an Automated Interstate Handbook (HAND) transaction for the Interstate Connection system without user intervention (FR.0193). GUS creates, via system interface, a Federal Wage and Separation (UCFE) data transaction for the Interstate Connection system without user intervention (FR.0194). GUS provides the ability to create, via system interface, a Military Wage and Separation (UCX) data transaction for the Interstate Connection system without user intervention (FR.0195).

GUS performs, via system interface, a Combined Wage Claim Request to Transfer Wages (IB-4) transaction with the Interstate Connection system without user intervention (FR.0196). GUS identifies duplicate Combined Wage Claim Request to Transfer Wages (IB-4) transactions without user intervention (FR.0197). GUS creates, via system interface, a Report of Use of Transferred Wages (IB-5) transaction for the Interstate Connection system without user intervention (FR.0198). GUS creates, via system interface, a Memorandum (IB-13)

transaction for the Interstate Connection system without user intervention (FR.0199). GUS creates, via system interface, a Withdrawn/Invalid Claim (WIC) transaction for the Interstate Connection system without user intervention (FR.0200). GUS creates, via system interface, a Combined Wage Claim Charges (billings) on Transferred Wages (IB-6) transaction for the Interstate Connection system without user intervention (FR.0201).

GUS enables the user to create, via system interface, an Interstate Claim and Wage Inquiry (IBIQ) transaction for the Interstate Connection system (FR.0202). GUS enables a user to create, via system interface, a State Identification Inquiry (SIDI) transaction for the Interstate Connection system (FR.0203). GUS enables a user to create, via system interface, an Interstate Claim (IB-1) transaction for the Interstate Connection system (FR.0204). GUS enables a user to create, via system interface, an Automated Interstate Handbook (HAND) transaction for the Interstate Connection system (FR.0205). GUS enables a user to create, via system interface, a Federal Wage and Separation (UCFE) data transaction for the Interstate Connection system (FR.0206). GUS enables a user to create, via system interface, a Military Wage and Separation (UCX) data transaction for the Interstate Connection system (FR.0207). GUS enables a user to perform, via system interface, a Combined Wage Claim Request to Transfer Wages (IB4) transaction with the Interstate Connection system (FR.0208). GUS enables a user to create a Report of Use of Transferred Wages (IB-5) transaction for the Interstate Connection system (FR.0209). GUS enables a user to create, via system interface, a Memorandum (IB-13) transaction for the Interstate Connection system (FR.0210). GUS enables a user to create, via system interface, a Withdrawn/Invalid Claim (WIC) transaction for the Interstate Connection system (FR.0211). GUS enables a user to create, via system interface, a Combined Wage Claim Charges (billings) on Transferred Wages (IB-6) transaction for the Interstate Connection system (FR.0212). GUS enables a user to create, via system interface, an IB-14 transaction for the Interstate Connection system (FR.0213). GUS performs a 'name-match' routine for each outgoing IB-4 transaction to support the return of the same claimant's wage records (FR.0214).

5.3.c.ii Adjudication (FR.0215 – FR.0335)

Adjudication – General (FR.0215 – FR.0219)

Adjudication – Potential Issues Tracking (PIT) List - Separation Related Issues (FR.0220 – FR.0293)

The Potential Issues Tracking (PIT) List for Separation Related Issues process resolves problems indicated by claims related to the separation of the claimant from the employer. The process is initiated when a separation issue is attached to a claim from another business process or by GUS. The process includes identifying the root cause, resolving the issue, and adjudicating the claim accordingly.

The Potential Issues Tracking (PIT) List for Non-Separation Related Issues process resolves issues concerning claims related to the Non-Separation of the claimant from the employer. The process is initiated when a non-separation issue is attached to a claim from either another business process or by GUS. The process includes identifying the root cause, resolving the issue, and adjudicating the claim accordingly.

GUS manages issues including status, tracking, resolution, and pending documents from claimants and employers (FR.0220) and determine monetary eligibility for a claim without user intervention (FR.0221). GUS can be used to add issues to a claim (FR.0222). GUS notifies a user that one or more payments are pending for a claim (FR.0223). GUS creates a work item for each issue to be determined without user intervention (FR.0224). GUS posts future issues to a claim (FR.0225). GUS associates an unresolved issue to a specific date range (FR.0226) GUS displays assigned cases, regardless of case status, for the worker that is logged into the application (FR.0227). GUS enables an employer associated with a claim to access documentation associated with the claim (FR.0228) and issues additional employer claim notices as needed (FR.0229).

GUS is able to present the issues associated with a claim (FR.0230). GUS can identify one or more weeks for payment (FR.0231) and identifies the funding source and program type for weeks released for payment (FR.0232). GUS creates a work item for each issue to be investigated without user intervention (FR.0233). GUS presents questions to an employer associated with a claim (FR.0234) and enables an employer to respond to questions associated with a claim (FR.0235). GUS allows a claimant to access documentation associated with their claim (FR.0236), presents questions to a claimant associated with a claim (FR.0237), and enables a claimant to respond to questions associated with a claim (FR.0238). GUS provides a capability to allow a third-party associated with a claim to access documentation associated with the claim (FR.0239). GUS can present questions to a third-party associated with a claim (FR.0240), enables third-

parties to respond to questions associated with a claim (FR.0241), and requests additional information concerning an issue from claimants, employers and third parties (FR.0242).

GUS provides acapability to modify requests for specific information (FR.0243) and can modify requests for information to specific (relevant) questions (FR.0244). GUS saves information requests for review (FR.0245) and can support claimant and employer fact finding scheduling when separation issues are detected once weeks are claimed (FR.0246). GUS supports automated fact-finding interviews and forms (FR.0247). GUS enables the entry of manual appointment scheduling for adjudicators to call claimants or employers for fact-finding interviews (FR.0248). GUS presents claim information for review (FR.0249) and presents all previously completed portions of a specific fact finding for review (FR.0250). GUS notifies a user when responses to requests for information are received (FR.0251). GUS can be set to alert a user that the time limit for a response to a request for information from a claimant, an employer or employer representative, or from a third party has passed (FR.0252). GUS allows removal of issue indicators from a claim (FR.0253).

GUS releases payments for a claim (FR.0254), notifies a user if payment is not released (FR.0255), and notifies a user that issues remain preventing release of payment (FR.0256). GUS enables an adjudicator to adjudicate a claim (FR.0257), adjudicates a claim without user intervention (FR.0258), and notifies Benefit Payment Control (BPC) when an overpayment is detected, without user intervention (FR.0259). GUS enables a user to enter comments for a claim (FR.0260). GUS prevents unauthorized users from making certain types of determinations based on administrator configurable rules (FR.0261). GUS retains all associated information including the draft determination for later completion when a determination is in process and must be saved prior to completion (FR.0262).

GUS includes issue codes to reflect the appropriate section of the law as defined in Florida statutes (sections of law shall be referenced as part of a determination) (FR.0263). GUS tracks in process determinations (FR.0264), enables review of the determination text prior to saving (FR.0265), enables editing of the determination text prior to saving (FR.0266), and does not have to audit changes to the determination text (FR.0267).

GUS enables a determination to be deleted prior to publishing the determination (FR.0268). GUS allows removal of all references to a deleted determination except what is recorded in the user activity log (FR.0269). GUS can be set to prohibit the original determination text from being altered or deleted after the Issue Date (publishing) of the determination (FR.0270). GUS provides a capability for an authorized user to search all determinations by: keyword, party, issue type (FR.0271).

GUS updates the claim history in accordance with the determination issued without user intervention (FR.0272), and updates the claim in accordance with the determination issued without user intervention (FR.0273). GUS allows a user to suppress the mailing of a determination (FR.0274). GUS can retrieve and display all information associated with a determination (FR.0275) and display all required fields for a determination (FR.0276). GUS enables copying of field values for required fields of a determination by retrieving information from the original determination (FR.0277). GUS prompts a user to enter the determination text (FR.0278) and associates the new determination to the original determination notification (FR.0279).

GUS notifies Appeals when a pending appeal is impacted by a determination, without user intervention (FR.0280). GUS can re-process all weeks based upon the effects of a determination, without user intervention (FR.0281). GUS re-calculates benefits based upon a determination, without user intervention (FR.0282). GUS provides a capability to allow adjudicators to select from pre-drafted legal statements when stating the reason for a determination within system generated correspondence (FR.0283). GUS provides a capability to override a prior determination with the last determination entered on the same date (FR.0284) and allows the last determination entered on an issue to overwrite the prior determination on the same day (FR.0285). GUS releases weeks for payment without user intervention (FR.0286).

GUS captures incarceration information provided by the Florida Department of Corrections (FR.0287), matches incarceration information with existing claimants without user intervention (FR.0288), associates incarceration information to existing claims when reviewed and approved by an adjudicator (FR.0289), and prevents payment of benefits when incarceration information is associated with a claim without user intervention (FR.0290). GUS captures Reemployment Eligibility Assessment (REA) information (FR.0291) and associates Reemployment Eligibility Assessment information with a claim (FR.0292). GUS notifies workforce to either reschedule or delete claimant to/from REA training (FR.0293).

Adjudication – Process Appeal Modifications (FR.0294 – FR.0302)

The Appeal Modifications process updates each claim based upon the results of the appeals process. This is an exception process for cases in which the Appeals Decision requires special processing outside of the automated system. The process is initiated by a claimant appealing a claim. The process must notify Benefit Payment Control when overpayments are detected and update the claim.

GUS enables reversal of the determination for a claim when an appeal decision reverses the initial determination, without user intervention (FR.0294), allows modification of the determination for a claim when an appeal decision modifies the initial determination, by an authorized adjudicator (FR.0295), and indicates that a determination for a claim has been modified (FR.0296). GUS indicates that a determination for a claim has been reversed (FR.0297). GUS identifies an original determination as having been modified including: changed, not changed, amended, deleted (FR.0298) and identifies an original determination when a new determination is mailed (e.g., Adjudication Disposition Date) (FR.0299). GUS enables selection from a list of parties to send an updated determination notification (FR.0300). GUS deducts any overpayment balance from the Claimant Overpayment Balance and from the appropriate program Claim Balance (FR.0301). GUS notifies Benefit Payment Control when an overpayment is impacted by a determination, without user intervention (FR.0302).

Adjudication – Process Employer Chargeability (FR.0303 – FR.0326)

The Determine Employer Chargeability process accurately sets a charge or non-charge to an employer's account based on separation information for an associated claim. The process is initiated when prior charges are disputed by an employer or the employer protests their Quarterly Tax Statement. The process includes reviewing protested charges, reviewing responses to a Quarterly Tax Statement, and concludes with an employer correctly charged/non-charged based on the results.

GUS notifies the 412 Unit upon completion of adjudication's fact-finding (FR.0303). GUS allows employer protests of benefit charges to be submitted on line (FR.0304) and enables a user to enter employer protests of benefit charges for a claim not submitted on line (FR.0305). GUS enables upload attachments to benefit charge protests submitted on line (FR.0306). GUS enables an employer to respond to a Quarterly Tax Statement (FR.0307), allows Forms UCB-412 to be submitted online (FR.0308), and allows upload of attachments to the Form UCB-412 responses on the Internet (FR.0309). GUS provides a capability to prevent duplicate Forms UCB-412 from being submitted by employers (FR.0310) and tracks Forms UCB-412 (FR.0311).

GUS identifies and presents benefit charges that are protested by the employer associated with the charges (FR.0312). GUS identifies a Quarterly Tax Statement that is protested by the associated employer (FR.0313) and provides a capability to review an employer's response to a Quarterly Tax Statement (FR.0314). GUS enables the scanning of the employer responses and identifies, without user intervention, the reason codes that do not affect the claimant's eligibility for benefits (FR.0315). GUS enables review of adjudication fact-finding on Labor Disputes (FR.0316). GUS notifies a 412 Associate of a work item for chargeability determinations requiring user intervention (FR.0317).

GUS notifies Adjudication when the wages associated with a claim do not equal 17 times the maximum weekly benefit amount, without user intervention (FR.0318) and notifies Wage Determination when the wages associated with a claim are identified as not belonging to the claimant (FR.0319). GUS generates chargeability determinations without user intervention (FR.0320) and creates a work item for chargeability determinations that require user intervention (FR.0321). GUS calculates employer benefit charges (FR.0322) and assigns a percentage of benefit charges for a claim to each employer account associated with the claim (FR.0323). GUS associates benefit charges for a claim to one or more employer accounts (FR.0324) and notifies an employer of their liability for charges (FR.0325). GUS provides a capability to issue a response to an employer protest (FR.0326).

Adjudication – Process Labor Dispute (FR.0327 – FR.0335)

The Labor Dispute process manages labor disputes and associated claims. The process is initiated when GUS receives a notification of a labor dispute. The process includes anticipating potential claimants involved in a labor dispute, actively managing claimant records associated with an ongoing labor dispute, and concludes with updating claimant records based on the result.

The Labor Dispute process is initiated by a claimant or employers notifying the Agency of a labor dispute, or by an adjudicator. The case is assigned to an adjudicator who checks the Claims and Employer databases, and conducts fact-finding including the claimant or employer as needed, and reviews the labor dispute issues with input from the Claim, Employer, and Claimant databases.

GUS determines if the claim is involved in a labor dispute by polling the Employer and Claim databases; if so, the claimant and employer are included in claim fact-finding. GUS issues a determination and notifies the claimant and employer, and updates the Employer Chargeability database. GUS recalculates payments, notifies the claimant and employer as required, and updates the Payments database.

GUS defines potential Labor Disputes (FR.0327) and notifies the Employer Charge Unit upon the entry of a potential Labor Dispute (FR.0328). GUS notifies Benefit Payment Control upon the entry of a potential Labor Dispute (FR.0329), enables electronic completion of forms related to a potential Labor Dispute (FR.0330), and associates Labor Dispute forms to a Labor Dispute without user intervention (FR.0331). GUS identifies a Labor Disputes (FR.0332), associates a Labor Dispute to wage records of potential claimants without user intervention (FR.0333), and associates a Labor Dispute to a claim without user intervention (FR.0334). GUS disassociates a Labor Dispute with associated claims, without user intervention upon closure of an active Labor Dispute (FR.0335).

5.3.c.iii Benefit Payment Control (FR.0336 – FR.0438)

Benefit Payment Control – General (FR.0336 – FR.0349)

All payments are made in GUS unless there is an active, unresolved issue that prevents them. Issues can be resolved to release any payments (FR.0336, FR.0337). When overpayments are created, Overpayment Determinations are generated and sent to the claimant (FR.0338). These notices are stored in GUS (FR.0339). Overpayment Determinations are a part of the case file that is sent to Appeals for the disposition of the appeal (FR.0340). Any work item can be closed without issuing a determination (FR.0341). GUS allows staff to enter a new claimant for the purpose of establishing an overpayment (FR.0342) and allows the transfer of existing payments among claimants (FR.0343).

AWI establishes the business rules that define what constitutes a fraud overpayment. GUS applies those rules in classifying the overpayment as fraud (FR.0344). GUS's Overpayment Profile contains fields that denote if a claimant is deceased (FR.0345) or in bankruptcy (FR.0346). It also lets the staff know if the claimant has received a judgment from a bankruptcy hearing (FR.0347). GUS can modify or cancel a bankruptcy decision (FR.0348). Overpayments are retained in GUS for only as long as state statutes require. AWI can configure how long to retain the overpayment data (FR.0349).

Benefit Payment Control – Wage Audit (FR.0350 – FR.0362)

When quarterly wage credit post audits are conducted, GUS performs many functions (FR.0350). GUS uses AWI business rules to compare claimants who received benefits in the quarter with those who had wages reported in the same quarter in SUNTAX (FR.0351). GUS also uses information obtained from ICON for wage credit post audits (FR.0352). The audit matching is determined using an administrator configurable threshold (FR.0353).

It identifies all of them and generates a Request for Wage Breakdown for each match and saves the required fields (FR.0354, FR.0355). These requests are sent to the appropriate employer for clarification of when the wages were earned. These requests can be completed online or by paper form. Requests completed online create work items that go to BPC for validation (FR.0356). Paper requests are entered in a template, scanned into GUS, and attached to the claim. GUS determines fraud based on administrator configurable rules (FR.0357).

GUS recognizes if employer reported wages conflict with payments and issues determinations indicating if there is a conflict or not (FR.0358). All wage audit activities are recorded and stored on the Wage Audit Activity Log (FR.0359, FR.0360).

GUS tracks the time frame from when a request is sent to an employer and when it is expected to be returned (FR.0362) and sent to a claimant and returned (FR.0361). When that time frame is missed, the work item tracking the time frame is activated and routed to the BPC investigators

Benefit Payment Control – Payment Intake (FR.0363 – FR.0378)

GUS accepts cash, checks, money orders and credit card payments for the repayment of debt. It records each payment and the payment method (FR.0363). IRORA Payments are collected from other states and applied to Florida overpayments (FR.0364). GUS ensures that these payments are credited to the correct account. GUS supports single payments to multiple overpayments (FR.0365).

Staff can prevent payments from being applied to overpayments (FR.0366). Payments can be applied to existing overpayments using configurable business rules (FR.0367) and staff can override those business rules (FR.0368). Workflow routes potential refunds to supervisors for review (FR.0369).

If refunds are in order because a claimant has repaid too much, a work item is created so that a refund warrant may be issued. Staff panels allow for the request of a refund warrant to go to Financial Management (FR.0370). The refund warrant number is recorded in GUS.

Checks returned because of insufficient funds or credit card payments rejected because of closed accounts or exceeded limits, are removed as repayments and posted as such on the file (FR.0371, FR.0372). GUS tracks the time frame when a claimant is notified of an invalid or returned payment (FR.0373). Claimants are notified of the situation and given a specific time frame for a correct payment (FR.0374). GUS provides administratively controlled variables to set the fee for invalid or returned payments (FR.0375). Additional fees are added to the claim when this occurs (FR.0376) and the claimant is notified of the need to pay these fees as well as the overpaid amount. These fees are removed if it is warranted (FR.0377). GUS records the warrant number for refunded warrants (FR.0378).

Benefit Payment Control – Overpayment Stop (FR.0379 – FR.0381)

Overpayment stops are often attached to a claim. GUS records and tracks the activities associated with that stop in an Examiner Activity Log (FR.0379, FR.0380). GUS also provides the ability for staff to remove the stop (FR.0381).

Benefit Payment Control – New Hire Audit (FR.0382 – FR.0391)

GUS performs a new hire audit (FR.0382). State and national New Hire Reports are cross-matched with benefit records to see if claimants failed to report all earnings after returning to work (FR.0383). When matches are found, GUS creates work items and generates a New Hire Information Request for both the claimant and the employer (FR.0384, FR.0385). GUS captures and stores all fields required for the New Hire Information Request (FR.0386, FR.0387).

GUS tracks the configurable time frame for the return of this information (FR.0389). When the time limit is exceeded, a work item tracking the event is activated and routed to BPC New Hire staff (FR.0388).

Information received from the requests is entered into and stored in GUS (FR.0387). From the responses, GUS is able to determine if a conflict exists and issue a determination (FR.0388). All of this activity is recorded in the New Hire Audit Activity Log (FR.0390, FR.0391).

Benefit Payment Control – Multi Address/Phone Audit (FR.0392 – FR.0398)

Using AWI configured rules, GUS searches the benefit files to determine if more than one claimant is using the same address or phone number to file their claim (FR.0392). When those matches are found, work items are created and the claim is placed on the Multi-Address/Phone Audit Activity Log (FR.0396). All activity pertaining to that audit is contained in this log (FR.0397). GUS has administrator configurable time-frame for contact responses (FR.0395).

As these matches are investigated, GUS provides the ability to exempt previously matched claims (FR.0393) as well as remove claims from the exemption list (FR.0394, FR.0398). GUS also tracks the progress of the investigation and alerts staff if timeframes are not met.

Benefit Payment Control – Waiver (FR.0399 – FR.0400)

GUS provides the ability to waive overpayments when administrative staff feels that it is warranted, and backs out any offsets that have been collected and refunded to the claimant (FR.0399). The overpayment profile in GUS indicates that the overpayment has been waived (FR.0400).

Benefit Payment Control – Interstate Overpayments, IRORA (FR.0401 – FR.0408)

The Interstate Reciprocal Overpayment Recovery Arrangement (IRORA) is a tool that is used to collect and return offsets owed to other states as well as have other states collect and transfer monies to Florida to offset existing overpayments (FR.0401).

GUS, in conjunction with ICON, conducts searches in other states for claimants who are overpaid in Florida (FR.0402). When those matches are found, requests to collect the overpayment are sent to the paying state. These requests can be modified or cancelled (FR.0403). GUS also compares the SSN used in the transfer of wages to other states with the SSN's of claimants who are overpaid (FR.0404). Matches are investigated by staff for future collections (FR.0405).

GUS also allows for the entry of overpayment amounts on Florida claims when other states have requested that Florida help recover the overpaid amount (FR.0406, FR.0407). GUS collects the offsets and prepares them for transmission to other states (FR.0408).

When CWC claims are cancelled, GUS creates an overpayment and work item that is routed to BPC. GUS also provides the ability to establish overpayments on current claims.

Benefit Payment Control – Overpayment Write-Off (FR.0409 – FR.0411)

State law establishes the Statute of Limitations for the collection of overpayments (FR.0409). When that limitation has been reached, the debt is written off. GUS provides for a comparison of the dates and activity of the overpayment. If the overpayment has exceeded the time limit, GUS identifies it and creates a file of write-offs pending approval (FR.0410). This action also marks all write-offs as approved (FR.0411).

Benefit Payment Control – Death Audit (FR.0412 – FR.0417)

GUS interfaces with the Florida Department of Health. From their Vital Statistics system, a file of the deceased Floridians is obtained (FR.0413). This list is compared to the file of claimants currently receiving benefits (FR.0412).

GUS supports an administrator configurable time-frame for a contact response (FR.0414). When matches are found, a work item is created and the claimant is added to the Death Audit Activity Log (FR.0415). All of the activities associated with the audit are contained in this log (FR.0416).

Notices are sent to claimants and investigations are conducted. When the investigation is completed, GUS marks it as closed (FR.0417).

Benefit Payment Control – Investigations (FR.0418 – FR.0421)

Investigations are routinely conducted in BPC. Whenever one is conducted, GUS provides for an Investigations Activity Log to record and store all of the activity associated with the investigation (FR.0418, FR.0419).

This also includes the attachment of any documents that are associated with the investigation (FR.0420) and what recommendation comes about as a result of the investigation (FR.0421).

Benefit Payment Control – Fail To Pay/Disposition (FR.0422 – FR.0438)

When claimants fail to repay their debt, any number of actions can be taken against them. GUS provides for the ability to track outstanding overpayments and create a work item for them when there is no activity within prescribed timeframes.

AWI business rules are applied by GUS to make a preliminary recommendation on the fail to pay work items (FR.0422). The same rules are used to make an initial disposition recommendation (FR.0423). GUS supports administrator configurable business rules for making an initial recommendation on fail-to-pay work items without user intervention (FR.0424). GUS also carries a date for when the overpayment needs to be reviewed (FR.0425, FR.0431).

GUS displays the disposition of the overpayment (FR.0426). That disposition can be changed at any time by staff (FR.0427). The Disposition Activity Log records (FR.0428) and tracks all activities associated with the disposition (FR.0429). GUS can recall an overpayment case from a Collections Agency (FR.0430) and refers overpayment cases to a Collections Agency (FR.0432). Associated evidence documents are retained in GUS (FR.0433).

Cases can be referred to collection agencies and can be recalled from them when appropriate (FR.0432). Cases referred to the State Attorney are sent with a case file created by GUS (FR.0434). The same is true for those cases referred to Civil Court (FR.0435). GUS also assembles and prints the dismissal package for Civil Court (FR.0436). Conditional and Final Judgment information is captured (FR.0437) and official copies of the documentation are stored in GUS (FR.0438).

5.3.c.iv Special Programs-STC (FR.0439 – FR.0508)

Special Programs-STC – General (FR.0439 – FR.0444)

GUS provides for the capability to notify employers in the Short Time Compensation (STC) program that their plan will end in a specified period of time (FR.0439). GUS allows the employer to reapply using the same information from the previous plan (FR.0440). GUS also enables the STC Coordinator to modify an STC plan effective date. GUS supports the transfer of an employer's STC claimants from one STC plan to another (FR.0441). GUS determines whether or not the worker has worked enough in the previous 52 weeks to qualify for the STC program (FR.0442). STC related correspondence is generated out of GUS for the identified employer and any leasing company associated with the STC plan (FR.0443). Staff can modify the effective date of an STC plan in GUS (FR.0444).

Special Programs-STC – Enter STC Plan Application (FR.0445 – FR.0478)

STC Plan applications can be entered in GUS (FR.0447) and one or more physical locations can be specified (FR.0448). Business worksite information is maintained in the system. GUS provides the capability to create and maintain eligibility criteria for STC (FR.0445). GUS interfaces with DOR SUNTAX to verify the STC plan applicant is an employer (FR.0450) and to notify DOR that employer has an authorized STC plan (FR.0446). The employer/leasing company information are modifiable in GUS (FR.0449). GUS notifies an STC plan

applicant that a leasing company has been identified as the employer of record without user intervention (FR.0451). It also notifies a leasing company that a plan application has been submitted without intervention (FR.0452).

STC employer information is maintained in GUS (FR.0453) and employers are associated with applications (FR.0454). Collective bargaining agent information is entered in GUS (FR.0455) and GUS recognizes the primary STC plan point of contact (FR.0456). Employees participating in a collective bargaining agreement are identified in GUS (FR.0457) which recognizes when a collective bargaining agent is required to authorize STC participation for specific employees (FR.0458).

STC claimant authorization information is associated with a specific STC plan (FR.0459). Collective bargaining agents can be authorized as a third party representative of an employee (FR.0460). GUS provides for employer representatives to authorize a company's participation in the STC program (FR.0461). GUS maintains business worksite information (FR.0462). Users approve or deny an STC plan application within GUS (FR.0463, FR.0478). GUS notifies employers or third party agents if timeframes are not met and can deny participation if time periods are not met by the parties (FR.0464).

GUS recognizes and creates a work item for duplicate STC plans (FR.0466). Electronic/digitized signatures are available in GUS for authorizing a company's participation in the STC program (FR.0467). Collective bargaining agents are associated with an employee and an STC plan (FR.0468). GUS can deny STC participation when employer, leasing, company, and/or collective bargaining agent have not entered their authorization (FR.0465). A submitted STC plan application creates a work item that is routed to the STC Coordinator without user intervention (FR.0469). If a certified statement precedes the STC plan application, it is accepted and tied to the application (FR.0470). Reminder notices are sent when a submitted plan has not been processed in the specified time frame (FR.0471).

GUS indicates an employer's eligibility for the STC program (FR.0472). It determines the STC plan effective date without intervention (FR.0473). It also sets the end date using configurable settings (FR.0474) and assigns a unique identifier to the plan (FR.0475). Staff can modify the plan application information (FR.0476) as well as the plan end date (FR.0477).

Special Programs-STC – Maintain Employees (FR.0479 – FR.0496)

GUS provides the capability to determine the initial eligibility of an STC claimant using configurable criteria. Designations within GUS identifying the claimant as an STC claimant prevent the system from requiring work search information (FR.0479). STC claim effective dates are modifiable in GUS (FR.0480).

Two or more STC claimants can be associated with an individual STC plan (FR.0481). Searches can be conducted for employees associated with an STC plan (FR.0482) or an STC employer (FR.0483). GUS claimant data is available for all STC claimants (FR.0484). STC claimants can be removed from (FR.0485) or their participation in the plan ended by staff (FR.0486). Collective bargaining agents can be associated with an STC claimant (FR.0487). An STC claim is associated with an STC plan (FR.0488).

GUS sets the claimant's STC end date based on configurable rules without user intervention (FR.0489). It can also end an STC claimant's eligibility for benefits without user intervention (FR.0490). Users can add employees to an employer's STC plan application (FR.0491). GUS prevents the addition of an active STC claimant to a different STC plan (FR.0492). GUS notifies STC claimants, representatives and employers when benefits are stopped (FR.0493). System generated determinations can be modified in GUS (FR.0494). GUS determines the initial eligibility status of an STC claimant using administrator configurable STC eligibility criteria (FR.0495) and determines the initial eligibility status of an STC claimant using administrator configurable STC eligibility criteria (FR.0496).

Special Programs-STC – Process Employee Hours (FR.0497 – FR.0508)

GUS provides the capability to create and maintain configurable continuing eligibility criteria for STC claims (FR.0498). Through the employer portal and dashboards, employers can enter the STC weekly work information for one or more eligible claimants (FR.0499). Staff can also enter weekly work information. Weekly work information is modifiable in GUS (FR.0500).

Employers are able to see and modify the claimant's weekly work information (FR.0501) and can either approve it or deny it (FR.0502). If it is denied, notification is sent to the claimant informing him of that (FR.0504). Denied work information is routed to the STC Coordinator or his staff (FR.0503). Reminders are sent to employers if the claimant's weekly work information is not entered or approved in a timely fashion (FR.0497) or to claimants if their work information was denied (FR.0504). Work Items are used in GUS to route denied weekly work information to appropriate staff (FR.0505). GUS calculates the appropriate amount the claimant is entitled to and makes the payment (FR.0506). That payment information is contained in GUS. GUS can pay regular UC to an STC claimant (FR.0507) and can pay EUC STC benefits without user intervention (FR.0508).

5.3.c.v Special Programs-TRA (FR.0509 – FR.0610)

5.3.c.vi Special Programs-DUA (FR.0611 – FR.0666)

The Disaster Unemployment Assistance (DUA) benefit is only available when individuals lose their employment as a result of a major disaster in their state and is only available when the President declares a Individual Assistance Declaration. The program has several facets.

Special Programs-DUA – General (FR.0611 – FR.0613)

GUS can modify an established disaster assistance program through its administration capability (FR.0611). GUS is designed to associate a DUA claim with the appropriate DUA benefit program and ensure that duplicate claims are not filed.(FR.0612, FR.0613)

Special Programs-DUA – Process DUA Mobilization (FR.0614 – FR.0646)

Staff, using GUS, can approve or deny disaster assistance program information prior to establishing a DUA program (FR.0614). It prevents the establishment of multiple DUA benefit programs for the same declaration (declared disaster) (FR.0615). GUS can upload and associate DUA benefit documents with a specific DUA program (FR.0617).

GUS supports several capabilities for media outlet information. It provides an area to develop and maintain media outlet information for disaster unemployment programs (FR.0618). GUS can associate benefit documents with multiple media outlets (FR.0619). Multiple press releases can be developed and distributed to the media (FR.0620). GUS allows DUA fact sheets to be published to an AWI website (FR-0616). DUA press releases can be routed through workflow without user intervention for approval or denial prior to publishing (FR-.0624) and press releases can be associated with an active DUA program (FR.0625). GUS can identify a media outlet to which to send a press release without staff intervention (FR.0626).

Through GUS, DUA programs can be deactivated and re-activated once established by the system (FR.0621, FR.0622) and disaster declaration information can be entered to establish a DUA program (FR.0623). GUS supports DUA press releases being modified prior to publishing (FR.0627) and media outlets can be selected for publishing (FR.0628). GUS also captures and stores the cost of publishing press releases (FR.0629). GUS can send a DUA press release for publication to a media outlet without user intervention (FR.0630). Without user intervention and prior to publishing, GUS can route through workflow a DUA fact sheet for approval or denial (FR.0631), Interstate Coordinator's Announcement for approval or denial (FR.0632), and interim procedural instructions (FR.0633).

GUS provides appropriate questions to the claimant to determine whether an established DUA program meets the DUA program eligibility criteria (FR.0634). GUS routes entered disaster declaration information without user intervention for approval or denial prior to establishing the DUA program (FR.0635). In the Program Administrative module, GUS determines a DUA program effective date (FR.0636), a DUA program end date (FR.0637) and provides the capability to modify a DUA program's effective date (FR.0638). Once the program is activated in the Program Administrative system, GUS permits the filing of a DUA claim associated with an established DUA program (FR.0639).

As part of the claimant application process, GUS requires claimants to agree to DUA benefit rights information without user intervention (FR.0640). The correspondence system in GUS provides a capability to approve or deny disaster assistance program correspondence prior to publication (FR.0641). It also provides a capability to modify DUA documentation generated for a declared disaster (FR.0642) and provides a capability to route approved procedural instructions without user intervention (FR.0643).

Based on workflow and without user intervention, GUS routes DUA claim issues that require fact finding to Adjudication (FR.0645). GUS evaluates DUA claims to determine whether they are filed late without user intervention (FR.0644). This is based on a GUS DUA-system variable that is the administrator configurable time period for filing DUA claims (FR.0646).

Special Programs-DUA – Process DUA Eligibility Determination (FR.0647 – FR.0666)

GUS submits DUA claimants for eligibility reviews; they occur on an administrator configurable (quarterly) time basis (FR.0647). Similarly GUS identifies an administrator configurable period of time in which claimant's are required to provide their DUA eligibility information (FR.0648). Through workflow, DUA claims are routed to Adjudication without user intervention when a claimant has not provided their required DUA eligibility information (FR.0649). GUS workflow also routes claimant applications for DUA eligibility without user intervention based on responses to DUA eligibility questions (FR.0652). The GUS application submission process determines when a claimant has not provided required information for establishing a DUA claim (FR.0653) and appropriate issues are created. Similar to the previous requirement, GUS determines when a claimant has not provided required information for establishing a DUA claim (FR.0653). Not only are issues created, but the Claimant Status screen and the Staff's Claim screen also indicate if there are problems with the DUA application.

GUS provides a capability to enter a DUA claim (FR.0650). An eligible DUA claim is associated with the appropriate DUA program (FR.0651). GUS supports the approval or denial of a claimant's justification for filing a late DUA claim (FR.0654). It also provides a capability to approve or deny a claimant's justification for employment loss (FR.0655). As part of the application evaluation process, GUS determines a DUA claim:

- Effective date (FR.0656)
- End date (FR.0657)

As part of the application evaluation process, GUS allows a DUA claim to modify a DUA:

- Program end date (FR.0658).
- Claim effective date (FR.0659).
- Claim effective date (FR.0659
- Claim end date (FR.0660).

GUS sends a reminder notice when a claimant has not provided required DUA eligibility information within the administrator defined time period (FR.0661).

Pending proof of wages for DUA applications, GUS evaluates and issues an eligibility determination (FR.0662). GUS allows claimants to enter self-employment wages for a DUA claim (FR.0663). GUS determines the eligibility of a DUA claim (FR.0664). Staff in GUS can modify the eligibility determination of a DUA claim (FR.0665). GUS could provide a capability to issue a DUA claim redetermination without user intervention (FR.0666) if this were a requirement.

5.3.c.vii Special Payments (FR.0667 – FR.0775)

Special Payments – General (FR.0667 – FR.0680)

Users can change the federal minimum hourly wage that is used to calculate the allowable earnings reduction (FR.0667). GUS can disable special state or federal programs (FR.0674).

Supplemental payments are made when changes to the claim warrant such. They are typically made when weekly benefit amounts are increased or earnings and other deductible income is reduced for a week that has been paid. Supplemental payments are always done by GUS after the change has occurred. Users cannot enter supplemental payments but they can make the adjustments that would result in one (FR.0668). The supplemental payment cannot be adjusted except by the change in base period wages or earnings deductions (FR.0669). Program funds are debited and credited internally (FR.0670) and are credited when payments are

cancelled (FR.0675). They cannot be debited and credited by a user (FR.0671). In GUS, staff can modify the federal hourly minimum wage using administrator configurable parameters (FR.0672).

GUS allows for multiple benefit payment transactions to be entered in a day (FR.0673). Cancelled payments are credited to the program from which they are paid. Any number of weeks are payable in a single day (FR.0676). All of the weeks are paid in one warrant (FR.0677) or direct deposit (FR.0678). Those warrants or deposits have a unique identifier in the form of a check number or transaction number. GUS initiates supplemental payments without user intervention (FR.0679).

Similar to supplemental payments, overpayments are created by GUS when the conditions of the claim are changed to a degree that would create one (FR.0680).

Special Payments – Issue Payment-Certify Weeks (FR.0681 – FR.0717)

GUS tracks a claimant's balance of available credits without any user intervention (FR.0681). Edits prevent the filing of future weeks (FR.0682). Only weeks that have passed can be claimed. Status panels inform claimants and staff of a claimant's certification status (FR.0683). Issues are not associated with a specific payment (FR.0684).

Staff can modify a claimant's reported earnings (FR.0685). This usually results in the creation of an overpayment or the issuance of a supplemental payment. If benefits are paid to a TRA claimant from another source, his basic TRA balance is reduced without user intervention (FR.0686).

Users can enter any number of weekly certifications for a claimant and can select only specific weeks that need to be paid (FR.0687). GUS allows staff to certify single or multiple weeks of benefits (FR.0688).and to select the number of weeks to certify (FR.0689).

GUS allows for the administrator to define and maintain the certification questions to be asked depending on the program type (FR.0690). The answers to all certification questions are recorded and stored in GUS (FR.0691). Certification question answers that result in issues create a work item to be routed to the Adjudication Unit for handling without user intervention (FR.0692, FR.0693). GUS contains logic that calculates the correct payment for DUA when part-time work is reported(FR.0694).

STC claimants can authorize work information submitted by the employer through GUS. Users can also approve or deny the weekly work information provided by the employer and GUS notifies the employer of the denial (FR.0695, FR.0696). GUS allows for users to enter STC claimant's work hours (FR.0699) and approve or deny the claimant's hours worked provided by the employer (FR.0697). Confirmation of the agreement of STC claimant and employer about the hours worked can be done without user intervention (FR.0698). Employers are notified of the claimant denial of hours worked without user intervention (FR.0700). Employers can also be notified when an STC claimant has provided his work hours without user intervention (FR.0701, FR.0702, FR.0703).

Certification issue work items are routed to designated staff without user intervention. Users can enter previously unclaimed weeks (FR.0704). By looking to see if there is a break of a week or more in the claim series and that the claimant has had employment, GUS can determine if an additional claim is required without user intervention (FR.0705). Transitional claims can be determined using similar logic (FR.0707). If the claimant is in continuous series at the end of the benefit year and the claimant still has a remaining balance, a transitional claim is in order.

Overpayments are always offset by weeks that are payable without user intervention (FR.0706). Unresolved issues prevent payments in GUS. Those issues are readily identifiable to the user and claimant (FR.0708).

GUS contains logic to require claimants to serve a waiting week in each new benefit year before receiving benefits (FR.0709). GUS's benefit charging logic breaks down the payment by fund types in cases of joint (UC/UCFE/UCX/CWC) claims (FR.0710). Claimants determine their preferred method of payment (check, direct deposit, debit card) and GUS ensures that the payment is made as they wish (FR.0711).

GUS uses an "open segment" approach to weekly certifications. Two open segments are created when the claim is filed. When those two are claimed, two more are created. All weeks to be certified are available (FR.0712).

Administrators determine which issues prevent payments in GUS (FR.0713). GUS issues payments (FR.0714). The proper debits occur for specified program types in GUS (FR.0716, FR.017). GUS uses configurable logic to calculate the claimant's WBA based on state and federal guidelines (FR.0715).

Special Payments – Process Returned Warrants (FR.0718 – FR.0730)

GUS can reissue a payment when a warrant is cancelled without user intervention (FR.0718). GUS can compare address change dates with payment issue dates (FR.0719). GUS contains a table of reasons for a warrant being returned (FR.0720). The reason for the returned warrant is stored in GUS (FR.0721). Returned warrants create a work item that is routed to the appropriate staff (FR.0722). GUS carries the warrant date of issue and the clear date when it has been cashed by the claimant (FR.0723). In GUS, staff can override a cancelled warrant request within an administrator configurable time limit (FR.0724). Warrants can be cancelled without user intervention (FR.0725) or by a staff member (FR.0726). The time frame to cancel a warrant can be configured in GUS (FR.0727).

Returned warrants to be re-mailed are easily identifiable (FR.0728). Warrants are noted as having been re-mailed (FR.0729). GUS generates mailing labels for re-mailed warrants (FR.0730).

Special Payments – – Electronic Funds Transfer-EFT (FR.0731 – FR.0737)

GUS can prepare a pre-note transaction to send to the financial institution prior to transmitting a direct deposit payment (FR.0733). GUS pays the claimant by their preferred method of payment (FR.0732). All EFT transactions carry a transaction number that can be used to trace the payment (FR.0731).

Failed EFT transactions are returned by the bank (FR.0734, FR.0735). Those returns result in a cancellation of the payment and the issuance of a paper warrant.

GUS provides the capability to issue EFT debit and credit transactions via the EFT interface (FR.0736, FR.0737).

Special Payments – Duplicate Affidavit (FR.0738 – FR.0746)

Claimants can use the claimant portal and dashboard to request a duplicate warrant (FR.0738). That request creates a work item that is routed to the appropriate staff without intervention (FR.0739). Duplicate warrants are issued when it is appropriate (FR.0740). GUS's imaging system stores images of processed warrants (FR.0741). Those in question can be retrieved. GUS generates a notice to the claimant when a duplicate affidavit form is being returned to the claimant (FR.0742).

GUS carries a warrant clear date to indicate when the warrant was cashed (FR.0743). Stop payments can be issued through GUS (FR.0744). The outcome of the stop payment request is carried in GUS (FR.0745). Replacement warrant information is carried in GUS (FR.0746).

Special Payments – – Issue Forgery Packets (FR.0747 – FR.0751)

When a claimant suspects that his warrant has been cashed through a forged endorsement, the claimant can request a forgery packet via the *Claimant Dashboard* (FR.0748). Users may approve or deny the claimant's request for a forgery investigation through GUS (FR.0747). Forgery determinations are entered and stored in GUS and can be associated with a claim (FR.0749).

Requests for a replacement warrant can be made through GUS (FR.0751) and the system reissues a payment for the cashed warrant (FR.0750).

Special Payments – Beneficiary Affidavit (FR.0752 – FR.0763)

Deceased claimants can be verified through the interface with the Department of Heath Vital Statistics system (FR.0752). GUS compares the date of death to the date of issue of payments to determine if any payments were made subsequent to the death (FR.0753). Work items are created and routed when payments were certified after the date of death (FR.0754). Users enter the deceased claimant investigation decision into GUS (FR.0755). Staff can enter the beneficiary information into GUS (FR.0756) and prevent any future payments and mailings to the claimant (FR07567).

Beneficiary affidavits can be scanned into GUS (FR.0758) and associated with the proper account (FR.0759). The beneficiary is associated with the claimant (FR.0760). GUS puts an issue on the claim to prevent any future certifications (FR.0761).

Users approve or deny the beneficiary's request for the deceased's benefits (FR.0762). That determination is stored in GUS. If approved, staff is able to reissue the deceased claimant's benefits to the beneficiary (FR.0763).

Special Payments – General Duplicate 1099/49T (FR.0764 – FR.0768)

The annual report of benefit payments and tax withholding (1099) and the report of overpayment repayment activity (49T) are sent to claimants each January. If they are undelivered, lost or misplaced, the claimant may make a request to have them replaced. This request can be made through the *Claimant Dashboard*. GUS generates a duplicate copy of either form that can be printed by the claimant or mailed to them (FR.0764, FR.0766). This availability can be defined by AWI on a configurable basis (FR.0765). Amendments to the 1099 and 49T are only done by staff with the highest levels of security (FR.0767, FR.0768).

Special Payments – Returned Wage Determinations (FR.0769 – FR.0772)

Returned wage determinations are entered in the system and create an issue that prevents any future payments (FR.0769). Users can place issues on the claim to prevent payments as well (FR.0770). The resolution of the issue releases any pending or suspended payments (FR.0771). Wage determinations can be reissued by GUS (FR.0772).

Special Payments – Child Support (FR.0773 – FR.0775)

The amount of child support deducted from a claimant's benefits is determined by the Family Courts. The percentage of withholding is received via an interface and entered into GUS (FR.0774). GUS calculates the percentage and makes the proper deduction before issuing a payment (FR.0773). The percentage of deduction is modifiable in GUS (FR.0775).

5.3.c.viii Appeals (FR.0776 – FR.0963)

Appeals – General (FR.0776 – FR.0802)

The Appeals process objectives are to receive, examine, and validate appeals; compile pertinent documentation related to an appeal and docket the case to be heard by UC hearing officers; schedule hearings for all parties; and make a decision and communicate the disposition to all parties.

GUS enables appeals to be routed to the Unemployment Appeals Commission (UAC) (FR.0776) and can route remand cases to referees based upon the content of the UAC Remand Orders (FR.0777). GUS associates appeals source documents with an appeal when filed (FR.0778), attaches evidence to an appeal (FR.0779), and uniquely identifies each document associated with an appeal (FR.0780). GUS logs activities performed on an appeals case (FR.0781).

GUS enables the capture, storage, and retrieval of waiver documents (FR.0782). GUS provides a capability to allow each appeal case type to have its own administrator configurable aging criteria, such as time from docketing to hearing, time from hearing to decision (FR.0783). GUS archives appeal cases based on administrator configurable criteria such as date or status (FR.0784). GUS can delete appeal cases based on administrator configurable criteria such as date or status (FR.0785). GUS enables a supervisor/manager to display a list of hearings assigned to resources reporting to the supervisor/manager (FR.0786).

GUS establishes and maintains status information for each appeals case (FR.0787). GUS prepares and transmits appeal case information to the District Court of Appeals (DCA) as required by the DCA (FR.0788) and prepares and transmits appeal case information to the US Department of Labor (DOL) as required by the DOL (FR.0789). GUS records that an appeal has been filed with the District Court of Appeal (DCA) to which the Agency is a party (FR.0790). GUS can be used to re-schedule appeals cases for which continuances are granted (FR.0791). GUS can reassign all of an individual referee's scheduled hearings to another referee for a configurable period of time (FR.0792) and can be configured to use specific criteria or

qualifications to prevent or enable referees from being assigned specific case types. For example: referee A is not qualified to hear Special Deputy cases; referee B is qualified to hear such cases (FR.0793).

GUS approves or denies a request for a continuance as instructed (FR.0794). GUS maintains contact information for all parties to an appeal (FR.0795) and maintains appeal issue codes and descriptions (FR.0796). GUS generates administrator configurable online surveys, captures the results, and reports the results (FR.0797). GUS prepares and transmits appeal case information to the Unemployment Appeals Commission (UAC) as required by the UAC (FR.0798). GUS includes an explanation of the law or rules and regulations on appeal documents (FR.0799). GUS provides a capability to edit notice text prior to distribution (FR.0800), and captures and records contacts/notes/comments by staff to document contacts with parties (FR.0801). GUS allows time extensions to be established for appeals (FR.0802).

Appeals – Benefit Appeals Intake (FR.0803 – FR.0841)

The Benefit Appeals Intake sub-process describes how users enter appeals into GUS, compile the documentation related to a specific appeal, and route the results to a Field Office for further processing. This process is initiated by a claimant entering an appeal into GUS. The process includes receipt of appeals by claimants who wish to take exception to Agency determinations; validation of appeals filed over the internet or by any available means; and an appeal case file is routed to be scheduled.

GUS enables users to file appeals (FR.0803) and allows an appeal to a combined determination and shall consider the appeal to be for all issues associated with the determination(s) (FR.0804).

GUS can be configured to determine or enable entry of the date an appeal is filed (FR.0805). GUS displays a list of all determinations for a given appellant (FR.0806), permits appeals of only adverse determinations (FR.0807), and prevents the filing of duplicate appeals (FR.0808). GUS enables required parties to appeal an adverse redetermination (FR.0809). GUS enables intake of appeals information and applies the same rules, edits, and validations regardless of whether the intake is performed over the internet or by a desktop user (FR.0810). GUS enables authorized third-party representatives to file appeals (FR.0811).

GUS stores information from the Department of Revenue for Child Support cases (FR.0812). GUS provides the ability to prevent the Agency from filing an appeal to a determination issued by the Agency (unless the Agency is the employer) (FR.0813). GUS enables calculation of timeframes for appeal filings (FR.0814) and, without user intervention, dockets an appeal that passes appeal validation rules (FR.0815). GUS indicates when an appeal filing date exceeds administrator configurable time limits (FR.0816). GUS displays appeal submissions and makes updates to correct information or to add missing information (FR.0817). GUS enables entry of additional information from parties to an appeal (FR.0818) and enables a user to confirm appeal information prior to submission (FR.0819).

GUS assigns a unique number for each appeal filed without user intervention (FR.0820) and creates a timestamp to indicate when an appeal is filed (FR.0821). GUS creates and maintains a case file for each appeal (FR.0822) and indicates if a determination has been appealed (FR.0823). GUS is able to accept an appeal filed after the administrator configurable time frame allowed for timely appeals (FR.0824). GUS sends a notice when a Remand Order includes a procedural error, as indicated by the UAC (FR.0825). GUS assigns appeal cases to Field Offices (FR.0826) and enables an administrator to control how cases are distributed based upon configurable parameters (FR.0827).

GUS assigns docket numbers according to administrator configurable parameters (FR.0828). GUS can associate cases with other cases (FR.0829). GUS can convert adjudication issues to appeal issues (FR.0830). GUS calculates and assigns disposition dates to each case when docketed (FR.0831). GUS enables association of multiple appeals in a labor dispute case (FR.0832) and can assign additional docket numbers on an ad hoc basis (FR.0833). GUS can assign program suffix codes to each case (FR.0834) and identify and associate appeals filed by a single claimant (FR.0835). GUS associates new cases with previous cases (Rescission Decisions/Re-open requests) as appropriate (FR.0836). GUS enables the creation and assigning of unique docket numbers for each appeal case (FR.0837). GUS can consolidate cases (i.e., merge two cases into a single case) as appropriate (FR.0838). GUS prioritizes cases (FR.0839). GUS can docket a new case when re-opened and associate the original case with the new docket number (FR.0840). GUS associates a remanded case with the original appeal case being remanded (FR.0841).

Appeals – Scheduling (FR.0842 – FR.0865)

Scheduling is the process of disseminating the appeals case load between available referees, who allocate time for each hearing based on the issues associated with the respective appeal. The process starts when an appeal is received for scheduling. The process includes identifying the issues in the appeal; scheduling a hearing; preparing and delivering documentation and/or audio records to the various parties, as appropriate; processing any discovery requests or postponement requests; and ends when a referee schedules the case for a hearing.

The Scheduling process begins when GUS sends a docketed appeal to a scheduler. The scheduler selects the appeal, reviews the case file, identifies the exhibits that need to be sent to the required parties, and confirms the schedule. This triggers GUS to send notification to the required parties and set the scheduled hearing time. This workflow continues with Hearing workflow.

GUS maintains a dedicated referee pool for each case type (FR.0842) and enables the creation of hearing pools (FR.0843). GUS captures and stores witness information (FR.0844). GUS updates contact information for parties to a hearing (FR.0845) and records phone numbers for members of the public so they may be conferenced into a telephone hearing (FR.0846).

GUS enables an authorized user to override all system generated parameters when scheduling a hearing (FR.0847). GUS allows a user to schedule hearings for multiple days, specify the hearing duration, and provide a replication feature to schedule the hearing for multiple non-consecutive days (FR.0848). GUS enables scheduling of mass hearings in which multiple appeals are heard at the same time (FR.0849) and can schedule hearing assignments without user intervention taking into account the referee pool, case type, and referee case type assignment (FR.0850).

GUS can be used to join the Agency as a party to a case (FR.0851). GUS enables all separation issues for the same claimant with the same effective date to be assigned to the same referee (FR.0852). GUS enables a search for appeals with similar circumstances for multiple appellants/parties, such as a fight between employees working for the same employer (FR.0853). GUS enables a referee to recuse himself/herself from a case (FR.0854). GUS provides the ability to disqualify a referee from a case (FR.0855). GUS uniquely identifies exhibits and documents prior to distribution to facilitate identification by the respective parties to a case (FR.0856). GUS enables annotation of imaged exhibits without making modifications to the originals (FR.0857).

GUS generates appropriate notices of hearings within the timeframes codified in prevailing statute, rule, or policy (FR.0858). GUS disseminates correspondence to parties and locations in addition to those associated with the parties' addresses of record, such as to job sites and representatives (FR.0859). GUS enables a scheduler to distribute documents to all parties to a hearing according to the parties' preferred method of communication (FR.0860).

GUS identifies specific documents which were distributed to parties to a case including authorized representatives (FR.0861). GUS generates notices, subpoenas, and correspondence associated with the hearing process (FR.0862). GUS creates and disseminates Show Cause Orders (FR.0863). GUS enables users to add parties to a case ("Joinder of Parties") (FR.0864). GUS provides the ability to redact selected information from documents when notices are sent to multiple parties, such as redaction of Social Security numbers for multiple parties associated with a labor dispute (FR.0865).

Appeals – Hearing (FR.0866 – FR.0878)

The Hearing process describes how a referee conducts a telephone hearing. The process begins when the referee convenes a hearing. The process includes capturing and recording documentary and audio results and concludes with creating a hearing record.

GUS implements all provisions for discovery (FR.0866). GUS initiates a new recording within a digital audio recording system (FR.0867), and captures and stores audio files from external recording sources such as handheld digital audio recorders (FR.0868). GUS records that an oath has been administered to each party to a hearing, including interpreters (FR.0869). GUS captures notes/comments by hearing officers during the conduct of a hearing (FR.0870). GUS enables hearing officers to modify case information, such as issues that may arise during a hearing (FR.0871). GUS records the description(s) of exhibit(s) (FR.0872). GUS

records that a waiver has been granted or denied during the hearing process (FR.0873). GUS enables the services of an interpreter to be requested on an ad-hoc basis during a hearing, or to replace a previously scheduled interpreter (FR.0874). GUS captures and stores information about participants, on an ad hoc basis, during the hearing process (FR.0875). GUS displays case summary information during the hearing process (FR.0876). GUS uploads and stores digital recording files and associates them with a case (FR.0877), and retains audio hearing records in accordance with statutory requirements (FR.0878).

Appeals – Disposition (FR.0879 – FR.0898)

The referee creates an Appeal Disposition by making a decision about an appeal and communicating it with all parties involved in the case. The process begins when a hearing is completed. The process includes completion of a decision by a referee, and issuing the decision and delivery to required parties.

GUS provides notification(s) to administrator configurable users for all appeal Decisions (FR.0879). GUS stores briefs filed by parties to an appeal (FR.0880). GUS enables a referee to initiate (request) an investigation, payroll audit, inquiry, or other examination (FR.0881). GUS provides the ability to make all Decisions available and searchable (FR.0882). GUS specifically identifies information/documents that were used by a referee when rendering a Decision (FR.0883).

GUS enables an authorized user to enter a Decision (FR.0884) and allows a Decision to be saved at any time throughout the writing/editing process and allows the author/authorized user to come back and make changes at a later time (FR.0885). GUS enables the inclusion of appropriate sections of law (citations) as part of the Decision (FR.0886) and enables the user to select and insert standard text blocks into Decision documents (FR.0887). GUS creates and implements cross-checks between appeal issues and Decision citations based on administrator configurable rules (FR.0888). GUS enables an authorized administrator to add, update, and delete Decision templates and standard text blocks (FR.0889).

GUS ensures that issue codes and reasons reflect the appropriate section of law (FR.0890). GUS has the ability to authorize fees and mileage allowances for witnesses (FR.0891), and can authorize fees for representatives of parties to an appeal (FR.0892). GUS records the Decision type (FR.0893) and electronically transmits Decisions to administrator configurable units of AWI (FR.0894). GUS enables distribution of a Decision in accordance with recipient communication preferences (FR.0895). GUS enables authorized users to edit Decision text prior to dissemination (FR.0896). GUS enables the issuance of a single Decision for multiple cases/docket numbers (FR.0897). GUS can prohibit the original Decision text from being altered or deleted after the Decision is final unless modifications are made through the correction process (FR.0898).

Appeals – Rescission Decision (FR.0899 – FR.0904)

A referee can rescind a dismissal decision by their own motion or at the written request of an appellant. Rescinding a dismissal decision reopens a case for appeal. The process begins when a referee receives a request to rescind a decision. The workflow includes processing the requests to rescind a previously issued decision and ends when a referee accepts or denies a request to rescind a decision.

GUS makes available to the UAC all relevant case information whenever a UAC appeal results from an action by AWI/UC (FR.0899). GUS enables users to re-open previously closed cases (FR.0900). GUS enables creation of an appeal to the UAC whenever a re-open request is denied by a user (FR.0901). GUS can be used to reset the status of a determination to its prior state when a case is re-opened (FR.0902), generates notices to all parties regarding the outcome of a re-opened Decision (FR.0903), and provides notifications to AWI/UC staff whenever a case is re-opened (FR.0904).

Appeals – Remand (FR.0905 – FR.0907)

The Unemployment Appeals Commission (UAC) can affirm, reverse, or modify the hearing officer's decision, or remand the case to the Office of Appeals for further action. The process starts when the UAC issues a remand order. The workflow includes processing the remand orders and capturing remedial training requirements for procedural issues. The process concludes when the case is entered into GUS and sent to scheduling.

GUS transfers a case from the Unemployment Appeals Commission (UAC) upon remand to the AWI/UC Appeals Unit (FR.0905). GUS indicates procedural errors for cases remanded to AWI/UC from the UAC (FR.0906). GUS identifies de novo cases when cases are remanded to AWI/UC from the UAC (FR.0907).

Appeals – Withdrawal (FR.0908 – FR.0914)

An appellant can withdraw an appeal prior to the hearing with the approval of the referee. The process begins when the appellant requests to withdraw the appeal and ends when the referee determines whether the appeal is accepted or denied.

GUS allows users to withdraw an appeal (FR.0908). GUS enables reinstatement of a previously withdrawn appeal (FR.0909). GUS displays pending appeals (FR.0910). GUS allows an appeal to be withdrawn prior to or as part of a hearing (FR.0911) and positively identifies the party requesting a withdrawal including the capture of an electronic signature (FR.0912). GUS generates and disseminates a Withdrawal Decision to all parties to the case (FR.0913) and enables a user to enter a Withdrawal Decision (FR.0914).

Appeals – Corrected Decision-Request (FR.0915 – FR.0917)

Before filing an appeal with the UAC, an appeals referee can issue a corrected decision to eliminate any clerical errors. The referee cannot make any changes affecting the substantial interest of the parties. The process begins when the referee makes a request to correct a previously issued decision. The referee processes the corrected decision request and issues a correction of denial to the required parties.

GUS generates and disseminates notices to all parties to a case when a correction request/petition is denied (FR.0915), records supporting material to document the reason(s) for corrected Decision requests/petitions (FR.0916), and disseminates corrected Decisions to all parties to a case (FR.0917).

Appeals – Corrected Decision-Petition (FR.0918 – FR.0920)

After appeal rights expire and the decision becomes final, only the Agency can petition to correct a decision, based on error or at the request of an interested party. The process begins when a referee receives a petition to correct a previously issued decision. The referee processes the corrected decision petition, and completes the process by correcting the decision or issuing a denial, and notifying interested parties.

GUS records objections to a proposed corrected Decision by parties to a case (FR.0918), creates and disseminates a proposed Corrected Decision to all parties to a case in response to a Corrected Decision Petition (FR.0919), and notifies affected parties (internal and external) when a corrected Decision is issued (FR.0920).

Appeals – Special Deputy (FR.0921 – FR.0951)

AWI holds “Special Deputy” hearings, which generally involve employers and tax related issues, liability issues, and/or whether services performed by an individual or class of workers were engaged in insured employment. Since a decision may affect an employee (adversely or otherwise), they are often joined parties to Special Deputy Hearings. The process begins when the AWI receives an appeal. The Special Deputy Unit assigns the appeal to a Special Deputy who processes the appeal, holds hearings to gather testimony, and issues a Final Order to adjudicate the appeal. The process ends when a Final Order is issued and the case is categorized and published on the AWI website.

The Special Deputy workflow is initiated when the Special Deputy Unit receives an appeal. A Special Deputy is assigned and processes the appeal in GUS and the Appeals Database. The Special Deputy opens the appeal, verifies that there is no corrected decision, and dockets the appeal. If no cause is shown, the Special Deputy drafts a final order and continues with the Chief of Appeals reviewing the final order.

If cause is shown, GUS generates an Acknowledgement Letter / Joined Party Order and a Cause Shown Letter, and sends them to the required parties. Docketing the appeal triggers GUS to schedule a hearing. The Special Deputy convenes the hearing. If the parties waive rights, the Special Deputy creates a recommended order. If the parties do not waive rights, the parties and Special Deputy file proposed findings, which are reviews of the proposed findings, and creates a recommended order. GUS sends the recommended order to required parties. The parties have 15 days to file an exception, then 10 days to file a counter exception, followed by 10 days to file briefs in opposition.

The Special Deputy drafts the final order, which is reviewed by the Chief of Appeals. The Special Deputy receives the review, adds it to the final order and returns it to the Chief of Appeals for review. The Chief of Appeals forwards the final order to the Agency Director for reviewing and signature. The final order is processed by the Deputy Clerk, and GUS generates and sends a Notice and Final Order to required parties. The Special Deputy Unit categorizes the case in GUS, ending the process.

GUS enables an Order to be saved at any time throughout the writing/editing process and allows the author to come back at a later time (FR.0921) and makes all Orders available and searchable by users (FR.0922). GUS creates and implements cross-checks between appeal issues and Order citations based on administrator configurable rules (FR.0923). GUS provides the ability to rescind a prior Order (FR.0924). GUS enables an authorized administrator to add, update, and delete Order templates and standard text blocks (FR.0925). GUS can be used to issue subpoenas (FR.0926). GUS can be configured to prohibit Order text from being altered after an Order is final (FR.0927). GUS specifically identifies information/documents that were used by a Special Deputy when rendering an Order (FR.0928). GUS retains audio hearing records for Special Deputy hearings in accordance with statutory requirements (FR.0929). GUS creates and disseminates Orders (FR.0930).

GUS allows cases to be dismissed (FR.0931). GUS permits users to file Special Deputy appeals (FR.0932) and records Special Deputy appeal information received from parties (FR.0933). GUS provides the ability to join the Department of Revenue as a party to all Special Deputy proceedings (FR.0934). GUS records additional filings and documents according to administrator configurable time periods (FR.0935). GUS enables the inclusion of appropriate sections of law (citations) as part of an Order (FR.0936). GUS enables users to select and insert standard text blocks into Order templates (FR.0937). GUS can issue a Recommended Order (FR.0938) and can issue a Final Order (FR.0939).

GUS records Exceptions filed by parties (FR.0940), records Counter-Exceptions filed by parties (FR.0941), and records Briefs in Opposition filed by parties (FR.0942). GUS ensures that resolution codes and reasons reflect the appropriate section of the law (FR.0943). GUS enables editing of an Order prior to dissemination (FR.0944). GUS creates and stores a case summary (FR.0945). GUS identifies an authorized official as a designee, acting on behalf of the Agency Director, for Special Deputy cases (FR.0946). GUS provides notification(s) to administrator configurable users for Special Deputy Orders (FR.0947). GUS electronically transmits Special Deputy Orders to AWI units as authorized by the AWI (FR.0948). GUS can print an Order and to distribute in accordance with recipient communication preferences (FR.0949). GUS categorizes a case based on administrator configurable categories (FR.0950) and publishes Special Deputy case summaries on the AWI internet site (FR.0951).

Appeals – Federal Quality Reporting (FR.0952 – FR.0963)

The Secretary of Labor has the authority and responsibility to monitor Lower Authority Appeals Quality Criteria. The appeals quality is measured to ensure a high quality lower authority appellate process. The process begins on the first workday of each quarter, when GUS randomly selects an appeal for quality reporting based on an embedded DOL algorithm. The reviewer assesses the overall quality of the lower level authority appeals process using a set of prescribed evaluation criteria. The process ends when the reviewer completes an ETA 9057 Report all reviewed appeals. GUS implements and supports all upload/download capabilities of the Unemployment Insurance Electronic Entry System (UIEES).

The workflow is initiated on the first workday of each quarter when GUS randomly selects an appeal for quality reporting based on an embedded DOL algorithm, and reports the selected appeals to the supervisor. Working in GUS, the supervisor assigns the file to a reviewer. The reviewer reviews and scores the case, and these actions are recorded by GUS. If there is an error, GUS notifies required parties, including the administrator, of the redetermination and the process continues with the Adjudication Determination workflow.

If there is no redetermination, the reviewer enters an ETA 9057 into GUS which sends the results to required parties including the administrator and UIEES, and the process ends.

GUS permits the audit function to be used at any time to meet internal needs such as performance reporting for referees (FR.0952). GUS audits the appeals process in accordance with federal and state laws (FR.0953). GUS retains all information and documentation associated with an investigation for a period of

three years from the completion of the investigation (FR.0954). GUS enables the assignment of a reviewer to each case (FR.0955). GUS generates, based upon administrator configurable parameters, random case files for audit (FR.0956).

GUS stores and retrieves appeal-related audit information (FR.0957). GUS enables an auditor to record and track all activities associated with an audit (FR.0958). GUS creates a work item for the Adjudication unit upon determination that the case was determined incorrectly (FR.0959). GUS records comments on a case (FR.0960) and records all data required for the completion of the US DOL Code Sheet as specified in the ETA Handbook No. 395 (FR.0961). GUS implements all audit requirements contained in US DOLETA Handbook No. 382, 2nd Edition (June 1996) (FR.0962) and records the scores of case audits (FR.0963).

5.3.c.ix Audit (FR.0964 – FR.0994)

Audit – Benefit Accuracy Measurement-BAM-Weekly Reviews (FR.0964 – FR.0978)

BAM is a federally-mandated program that assesses the accuracy of benefits denied to claimants and Unemployment Insurance payments made to them. GUS supports data retention of BAM investigations using an administrator configurable file (FR.0964). Using Workflow, GUS generates a reminder to a Claimant who has not returned the Claimant Questionnaire based on an administrator configurable timeframe (FR.0965). The claimant response time to the Claimant Questionnaire is configurable by an administrator (FR.0966). GUS creates an alert if the claimant or employer has not returned their questionnaire or Wage Verification Form, respectively, on time (FR.0967, FR.0971). GUS allows staff to suspend (FR.0968) or resume (FR.0969) claimants benefit payments. In GUS, all documents associated with a case are attached once a case is selected (FR.0970).

GUS supports the Investigation Activity Log (FR.0972) in which staff can record and track activities associated with an investigation (FR.0973). GUS supports capturing all the Code Sheet fields for a BAM audit as identified in ETA Handbook No. 395 (FR.0974). This information can be reviewed and approved (FR.0975) and used by staff when taking to a claimant (FR.0976). The Code Sheet also supports recording of comments (FR.0977). Elements in the Code sheet can be corrected and captured the day the supervisor closes the case (FR.0978).

Audit – BTQ-Quarterly Reports (FR.0979 – FR.0984)

The Benefit Timeliness and Quality Audit evaluates if determinations are effectively processed and are issued in a timely manner. The ETA 9056 report is issued on a quarterly basis. These reviews assess how well adjudicators are performing.

BTQ quarterly reviews are randomly selected in GUS by an algorithm configurable by an administrator (FR.0979). Also configurable is the timeframe for the retention of the date (FR.0980). GUS provides the ability for BTQ cases to be reviewed by a second reviewer. Once a case is selected (FR.0981), GUS associates all claim information and documents with the case (FR.0982). GUS collects all the fields required for a BTQ review as specified in ETA Handbook No. 301 (FR.0983). Similar to BAM reviews, all cases are routed to supervisor for rescoring (FR.0984).

Audit – BTQ-Non-Monetary Reviews (FR.0985 – FR.0988)

The Agency conducts Non-Monetary reviews to assess the quality of Adjudicator performance. These reviews help determine Adjudicator training requirements and other assistance areas.

GUS uses an administrator configurable timeframes to set Non-Monetary Review summary scoring retention (FR.0985) and administrator configurable algorithms to randomly select Non-Monetary cases for review (FR.0986). Once cases are selected, GUS attaches all necessary information to the case at the time the determination was made. GUS collects all the fields required for a BTQ Non-Monetary review (FR.0987). GUS captures all information required for Agency reviews (FR.0988).

Audit – BTQ-Data Validation (FR.0989 – FR.0994)

BTQ – Data Validations are completed by the Agency and the results are forwarded to DOL (FR.0990). GUS retains the data as a result of an administrator configurable timeframe (FR.0989). Agencies identify the number of workload items that are processed each year which are used by DOL to help establish the state's unemployment compensation funding. DOL requires validation data in 15 populations such as initial claim, appeal, and non-monetary determinations.

GUS specifies the validation data retention period based on an administrator configurable timeframe. The population data for the study is downloaded to GUS from US DOL (FR.0990). GUS tracks the date each population file was downloaded from the US DOL (FR.0991), the validator assigned, and the date of the assignment (FR.0992). GUS supports a Validation Activity Log that tracks and records all activity associated with the validation process (FR.0993) and all information associated with the validation process are saved in fields as identified in ETA Handbook No. 361 (FR.0994).

5.3.c.x Customer Information Requests (FR.0995 – FR.1028)

Customer Information Requests – Customer Assistance-General (FR.0995 – FR.1003)

GUS provides a capability to distribute information to authorized parties via the communications system and by using work items (FR.0995). Administrator configurable record request types are defined in GUS (FR.0996). GUS also maintains, by record type, administrator defined record sensitivity and provides a capability to maintain administrator defined record types to certify (FR.0997).

GUS associates a request for records to the claimant account, and employer account (FR.0998); and, through the Communication System, customers can enter a request for information. By record type, GUS allows administrators to configure the time limit that records are available in the system (FR.0999).

GUS assigns a unique identifier to a request for information (FR.1000) and allows staff to record a requestor's contact information in the Communications System (FR.1001). In the Communications System, GUS allows users to send selected information to an external email address (FR.1002). Users can access a minimum of five years of data associated with a customer information request (FR.1003).

Customer Information Requests – Customer Assistance Requests (FR.1004 – FR.1008)

Customers can enter a request for information in the Communications System (FR.1004). GUS can be used to enter and associate an identifier to a records request (FR.1005) and can route requests for information without user intervention based on record request type to claimants and employers (FR.1006). GUS limits record requests to defined record types (FR.1007) and enables users to search and request records for a specified date range (FR.1008).

Customer Information Requests – Confidential Records Requests (FR.1009 – FR.1028)

GUS maintains an administrator defined list of record types to be certified (FR.1009). GUS, by maintaining record confidentiality status, restricts the dissemination of confidential records to only authorized entities (FR.1011). GUS can store an administrator configurable cost per page (FR.1010).

The imaging system in GUS allows staff to redact information provided in a records request (FR.1012). Staff can also modify system-determined redacted information (FR.1013). GUS certifies that records are generated by the system without user intervention (FR.1014) and provides staff the ability to certify records prior to distribution (FR.1015). GUS determines the number of pages in a record request (FR.1016) and calculates the time a user takes to process a records request (FR.1017).

GUS can store an administrator configurable cost per page, and an administrator configurable cost per page for preparing a records request (FR.1018). GUS can also store an administrator configurable cost per hour for preparing a records request, or cost per certified copy (FR.1019).

A unique records request invoice number is generated by GUS (FR.1020). GUS identifies the minimal cost required to request payment for records request (FR.1022) and calculates the cost for a records request. Once established, staff can modify the system determined cost for a records request (FR.1021). GUS provides a capability to associate a payment with a records request.

Invoices are sent to a requestor via the requestor's preferred method of communication saved in their profile (FR.1023) as are the requestor's preferred method of communication to receive requested records (FR.1024). GUS calculates the cost for a records request (FR.1025) and stores an administrator configurable cost per certified copy (FR.1026). GUS provides a capability to associate a payment with a records request (FR.1027) and sends record request results according to the requestor's preferred method of communication (FR.1028).

5.3.c.xi Common (FR.1029 – FR.1040)

GUS enables an administrator to configure the number of wage digits (FR.1029), the ability to modify the eligibility status for each program type (FR.1030), and add additional state and federal programs such as DUA and EB (FR.1032). Claimants can choose their benefit payment method in GUS (FR.1031). GUS allows claimant's child support deductions to be sent via the DOR interface (FR.1033) and child support to be deducted from a claimant's benefit via the DOR interface (FR.1034).

Overpayments are routed without staff intervention in GUS (FR.1035) and can be removed from a claimant (FR.1036). GUS maintains employer information associated with an STC plan (FR.1037) and retains benefit payment history data based on an administrator configurable time-frame (FR.1038).

GUS notifies an employer of the percentage of charges for which they are responsible when wages associated with a claim are modified (FR.1039). GUS is an integrated UC/Workforce environment; and as such no interface is required to capture or exchange any information among both systems (FR.1040).

5.3.d Non Functional Requirements (NF.0001–NF.0444)

Requirement: ***Tab 5*** *– From a technical perspective, describe how the proposed solution will satisfy the non-functional requirements of the proposed UC solution as specified in the systems requirements matrix.*

Note: See Appendix 9.1 for larger screen images and additional images for multi-page forms.

The following sections outline in detail from a technical perspective how our proposed solution will satisfy the non-functional requirements of the ITN:

5.3.d.i Account Management (NF.0001–NF.0012)

GUS includes a comprehensive set of features for account management. These features include a data entry Wizard that will prompt the user to:

- Enter personal information such as name, address, contact information and demographics
- Enter their communications preferences
- Indicate their interface preferences
- Specify their payment method
- Configure user interface options (turn features on and off)

The following sections outline the features in GUS for account creation and management:

Account Creation (NF.0001–NF.0005 and NF.0007 and NF.0011)

GUS is designed to allow claimants, employers and education providers to access the site via the Web and create a new account (NF.0001). Upon entering the GUS site for the first time and requesting a service that requires registration, the external customer will be required to create a unique username and password that will be used to allow the user to reenter the system. The characteristics of this username and password (required length, acceptable characters, time before changing, etc.) will be established as system

parameters by the Agency. The customer will also be required to select and enter the answer to security questions that can subsequently be used to validate the user's identity. This user identifier is used to identify the customer to the system whenever they subsequently log onto the system. Once identified as a valid system user, the claimant will have access to relevant GUS functionality. This functionality will be determined by their user type.

Each external customer type/category will have a unique registration and account creation Wizard based on the information that is needed by the system for that type of user when they complete their registration or reenter the system using their username and password for their account type. Employers for example will see a completely different set of available services and functions than claimants (NF.0002).

The registration process (which is often part of another process such as initial claims) takes place via multiple steps using a Wizard format. At each step the user is presented with a data entry screen and is asked to provide information such as name, address, etc. (NF.0004). The Wizard will include screens for individuals to provide required demographic data such as race and gender. (NF.0005) GUS is configured to prompt the user for this information in the format required by the Department of Labor. There are designated fields that are established by the Agency that are required to be answered by the customer to complete the process (NF.0005). The user will not be able to proceed to the next step without answering these questions. Business rules are also part of the Wizard and are used to determine additional questions that may need to be asked, and inform the customer of questions that may appear to be answered incorrectly.

As part of the registration, the external customer will indicate their preferred method of communication with staff. They will be able to select from email, fax, mail, text message and telephone. They will indicate a primary and alternate telephone number (NF.0007). An internal message will always be generated when communication takes place in the system between staff and external customers. The external customer will also be able to indicate the preferred language for communications: English, Spanish or Creole (NF.0011).

GUS allows employers to designate multiple accounts for their organization. The parent employer can control the access privileges for each of these associate customer accounts (NF.0003).

Account Maintenance (NF.0006)

Once a customer has created an account in GUS they can maintain and update their personal information online in case of address change, email change, etc. In GUS this data is easily accessed online from what are referred to as the *File Folder System* in the *Individual Profile* and *Corporate Profile.*

End User Agreements (NF.0008–NF.0009)

GUS has a configuration option that allows a specific agreement to be displayed to the user upon creating an account (NF.0008). The user will indicate their acceptance of the terms of this agreement. The wording of this agreement will be provided by AWI (NF.0009).

Resetting of Passwords (NF.0010)

GUS has the facility for customers to change their password. Customers can also automatically retrieve their password by successfully providing correct information, including the answer to a specific security question. Staff can also reset passwords on behalf of external customers and automatically notify the customer of the change.

Correspondence with No Account (NF.0012)

GUS requires that a user is logged in to the system to both receive and send specific communication. This is required to identify the customer for to and from communications, as well as for security reasons.

5.3.d.ii Correspondence (NF.0013–NF.0058 and NF.0388–NF.0389)

GUS includes a comprehensive *Communications Center* that provides the flexibility to meet the various correspondence requirements for the system. This advanced correspondence capability will result in improved communications between staff and external customers, as well as between staff themselves. It

will also result in significant cost saving by increasing the amount of electronic communications compared to traditional mailings. The GUS *Communications Center* provides:

- Automatic notification to claimants and employers
- Automatic notification of scheduled appointments
- Templates to provide standard forms, letters, and notices
- Correspondence triggered by specific events and actions
- Configurable templates
- Correspondence both in bulk and/or on-demand
- Customized messages

The following sections outline the features in GUS for correspondence management:

Correspondence Templates (NF.0013–NF.0016 and NF.0057 and NF.0388–NF.0389)

Within the Correspondence Templates Component of the GUS Communications Center authorized staff can create templates that will be the basis of communications and correspondence that is transmitted from the system (NF.0013). These templates can be either Default System Communication Templates or Personal Communication Templates. Default System Communication Templates will be made available to multiple staff members as part of the workflow of the system; for example, a notification of non-monetary determination (NF.0014). Personal Communication Templates will be used by the staff members for their own individual communications, such as specific requests they may make to external customers.

A special kind of Default System Communication Template will be available for complex correspondence that requires extensive data entry fields and sophisticated layouts. These are called Default System Forms. An example is the UCB412 form. Default System Forms are created using a special graphic form designer.

In all cases the templates will permit the definition of variables to display data fields such as name and address (NF.0015). The system includes business rules that determine when specific *Default System Communication Templates* will be available to be selected. Templates are classified as to their type and classification. The system will prevent the user from selecting mutually exclusive variable text within a correspondence template based upon pre-defined business rules (NF.0016).

The Geographic Solutions Team is proposing to create all the specific templates for the correspondence outlined in the functional requirements of the ITN (NF.0388) and will insure that the standard correspondence is available where required by a business process and that it can be output where appropriate without user intervention (NF.0389). The user is able to view and print a catalog of all correspondence templates contained in the system that they have access to (NF.0057).

Creating Correspondence (NF.0017–NF.0020)

When the staff member creates or edits standard correspondence in the *Communications Center,* GUS provides an easy to use editor. This text editor is WYSIWYG, which means that the content being edited on it looks as similar as possible to the results users see when publishing it (NF.0020). It also includes sophisticated editing features found on desktop editing applications like Microsoft Word and it is very easy to use. The user can enter free-form text into the correspondence via the editor (NF.0019).and it also supports pasting formatted documents from Microsoft Word. The text editor also includes an interactive spell checker (NF.0017).

The GUS Communications Center will retrieve and replace variable text in the correspondence when the correspondence is reopened for additional editing and the user makes a request to refresh variable data (NF.0018).

Document Management (NF.0021–NF.0026 and NF.0028–NF.0029 and NF.0032 and NF.0052–NF.0056)

Geographic Solutions is planning to modify the GUS *Communications Center* to include full version control for documents (NF.0021), the ability to route documents for review and approval prior to publishing, and to capture the reviewer's comments (NF.0022). These will not be displayed in the correspondence (NF.0023).

All correspondence that is published has a unique identifier and is date and time stamped (NF.0024,

NF.0028). The system will allow an authorized staff member to override the date and time stamp (NF.0029). The documents can be converted and stored in the GUS database as a .pdf file (NF.0025). This file will be indexed and associated with appropriate area of the system (NF.0026).

The GUS *Communications Center* includes utilities to filter, sort and search for correspondence and templates based on user defined parameters. Documents can be archived periodically to make this a more efficient process (NF.0052). The GUS *Audit Trail Component* will maintain key historical summary level information about the correspondence (NF.0032).

The GUS *Communications Center* can currently sort and filter on search results for correspondence and correspondence templates (NF.0056). In addition, the Geographic Solutions Team is proposing to modify the *Communications Center* to provide advanced search capabilities similar to those found in Microsoft Outlook (NF.0055). This will make it easier to finds a specific item when there is a significant amount of correspondence to parse through. This will include ability to perform a keyword search on the content of any correspondence (NF.0053).

The transmission of internal correspondence is currently encrypted via Secure Socket Layer. In addition, the Geographic Solutions Team is proposing to provide the option to encrypt the contents of correspondence at the database level (NF.0054) using *SQL-Server PassPhrase* encryption. This is an asymmetric key encryption that utilizes the RSA algorithm in 512-2,048 bit keys.

Sending Correspondence (NF.0027 and NF.0030–NF.0031 and NF.0033–NF.0042 and NF.0045 and NF.0048–NF.0051)

In GUS correspondence can to be manually sent or can be sent as part of a workflow without user intervention (NF.0027). Staff will be able to send correspondence to an external customer's preferred method of communication (NF.0033) and notify the external customer based on the external customer's preferred method of communication, when new correspondence is distributed (NF.0034). The GUS *Communications Center* supports communication through:

- Internal Message
- Email
- Text Message
- Fax (using a fax server)
- Mail – Printed letters and mailing labels on a local or workgroup printer (NF.0048)
- Mass Mail – output to a bulk mailing device (NF.0049)

Staff members select a recipient type (claimant, employer, or fellow staff), conduct a system search for the desired recipient(s), and select who will receive the notification. The system can also print correspondence without sending it to a user (NF.0045). The user can attach documents including images to communications provided they are a reasonable size (NF.0031). A size limit on these documents is recommended for external interaction.

The Geographic Solutions Team is proposing to modify the *Communications Center* to support the ability to allow electronic signatures to be attached to some correspondence (NF.0030). This will provide the benefit of allowing the Agency to eliminate some of their of paper files and to fully automate business processes where face-to-face interaction is not otherwise required by statute or policy.

A log of every correspondence that is sent and received through the *Communications Center* is kept in the GUS database, including when and if internal messages are opened (NF.0035). A return receipt can also be sent to staff indicating that a message was read by a customer (NF.0036). Correspondence can be sent to multiple users at once and can be resent whenever necessary (NF.0038). This ability to resend can be used when communication failure occurs (NF.0042). The system will maintain timers and monitor date sensitive information based upon the time of distribution of the correspondence (NF.0037).

Once a piece of correspondence has been sent (published) it cannot be changed (NF.0039); however, the user could copy the correspondence and correct it and re-send it (NF.0040). Sent (published) correspondence can be reprinted multiple times (NF.0041).

GUS includes a facility that will convert an address to a standard U.S. Postal Service Bulk Mailing Address based on address matching technology. This occurs interactively on initial registration (NF.0050).

The GUS Communications Center supports the generation of correspondence both within the workflow as structured correspondence and outside of the workflow as ad hoc correspondence (NF.0051).

Formatting Correspondence Output- NF.0043-NF.0047 and NF.0058

The GUS *Communications Center* is very flexible in the output capability of correspondence. The user is able to precisely control the content of the output to produce quality documents. This includes printing break points inside documents, formatting for portrait and landscape orientation (NF.0043), printing of documents across multiple pages (NF.0044), printing direct and/or with preview (NF.0046).

Visually impaired users can safely use screen readers with the GUS *Communications Center*. It is compliant with W3C and U.S. Section 508 standards (NF.0047). The system will support multiple languages for correspondence as well as automated translation of text into multiple languages (NF.0058).

5.3.d.iii Database Architecture (NF.0059–NF.0068)

GUS is supported by a Relational Database Management System (RDBMS) using Microsoft's SQL Server Version 2005 on a Windows Server 2003 (NF.0059). This client/server relational database system is capable of supporting thousands of concurrent users, processing millions of transactions per day, and managing databases in excess of 200 gigabytes. This scalability ensures that as both the database and usage grow, the system will continue to perform efficiently, with the existing number of concurrent users or an expanding number of users as indicated in the ITN.

The GUS relational database structure permits rapid access to large amounts of data. The program interface to the database is structured query language (SQL). SQL statements are used both for interactive queries for information from a relational database, and for gathering data for reports. The GUS data structure is a relational and normalized database architecture that has full referential integrity (NF.0060) to ensure the integrity of the data from the time it leaves the user's entry point until it is recorded on the database, as well as when information is returned to the client. The system also provides the capability to modify existing record attributes while maintaining referential integrity (NF.0063).

The GUS database contains all the data tables and fields necessary for the purposes of storing data for unemployment compensation. The relational database structure is normalized to the level of the 3rd Normal Form. The normalized GUS database has the following advantages:

- It has minimal data duplication.
- It accommodates multiple values for types of data that require them.
- It permits efficient updates of the data in the database.
- It avoids the danger of losing data unknowingly.
- It provides consistency and validity checks on data elements at the database level (NF.0062).

The GUS database structure is fully documented in an interactive data dictionary. The system employs one defined set of data standards (NF.0061). The GUS database supports multiple record types including the storage of scanned documents in a variety of formats (NF.0064).

Within the GUS administration system authorized users can archive data based on a variety of criteria such as creation date or last modification date (NF.0067). These records can also be returned to the active system based on user request and/or administrator defined criteria (NF.0068).

GUS will provide a data history in accordance with state and federal law as well the AWI Electronic Records Retention Policy (NF.0066). Geographic Solutions is proposing to use the *Idera SQL Diagnostic Manager* tool to provide a warning when allocated record storage volume approaches an administrator defined limit. (NF.0065)

5.3.d.iv Development and Support Services (NF.0069 – NF.0084)

The following sections outline the development and support features in the GUS overall solution:

Maintenance Activities (NF.0069)

The Geographic Solutions Team is proposing to provide full maintenance and support for the Florida GUS/UCCBIS solution. These services are outlined in detail in Section 5.4. The proposed configuration of the system will allow for maintenance and support activities to be carried out while the application and supporting systems are online. (NF.0069)

System Monitoring and Error Reporting (NF.0070–NF.0074)

The proposed package of supporting software for the GUS solution includes the following utilities that meet the requirements for system monitoring and error reporting:

- **SQL Server Agent** – For automated scheduling of scripts (NF.0070).
- **Brightstore ArcServe** – For application data backup and scheduling of backups (NF.0070).
- **Ascendview WildMetrix** – For real-time monitoring for networks, servers and applications. Monitors entire system infrastructures, pinpoint performance issues and increase productivity (NF.0073).
- **Orion Network Performance Monitor** – For fault & performance management. Monitors real-time performance metrics for routers, switches, servers (NF.0073). Monitors results against historical measures (NF.0071).
- **Idera SQL Diagnostic Manager** – For monitoring for health, performance or availability problems within the database environment. Analyzes performance over time (NF.0071).
- **Microsoft Team Foundation** – Provides for software management and Version Control (NF.0072).
- **Microsoft Visual Studio 2010** – For customizing the GUS system (NF.0072).
- **Microsoft Remote Desktop Protocol (RDP)** - For remote access. The software provides a graphical interface to a remote computer (NF.0074).

In Context Online Help (NF.0075)

GUS contains an online embedded help function that is context sensitive and is located at the top of each Web page or adjacent to each relevant section in the system. Over one thousand unique help text records are used throughout the system, providing guidance to external customers and staff users. System users may view help text for a page, or a specific section on a page, by clicking the question mark icons. A small pop-up window displays helpful information about accessing the system feature easily and effectively.

Help text is stored in a data table and can be edited by an authorized administrator through an online edit tool. (NF.0075)

Error Messaging (NF.0076–NF.0081 and NF.0083)

GUS has a comprehensive error messaging system for reporting system errors and warnings (NF.0076). These error messages are detailed in nature and automatically logged and sent to a system administrator via email. Geographic Solutions technical support staff constantly monitor this automated error log for issues. Any issues that are discovered are entered into the Geographic Solutions Online Project Communications (OPC) system and will be addressed by the appropriate technical staff. The OPC provides a tool to track incidents and their resolution. The users of the system can be sent messages to notify them of system events. Geographic Solutions also is proposing that staff subscribe to the Geographic Solutions Community Portal where such notifications will be posted (NF.0079).

A system exception indicates a problem with the services that support the GUS application, such as a database connection failure. These issues are reported by the error handler (NF.0081) together with details of the exceptions, their severity, and the environmental conditions at the time (NF.0080). The reason for system failures will be entered and tracked in the OPC (NF.0083).

The Orion *Network Performance Monitor* software is designed to monitor the performance of the entire system and will alert the system administrator when performance and storage thresholds are being approached (NF.0077) and when they are being exceeded (NF.0078).

Our proposal includes a unique service from Webmetrics known as *GlobalWatc*h. The service will simulate defined Web transactions, such as customer logins, as frequently as every minute to verify that the Web application is available and performing 24/7. This service will ensure that the new GUS site is up 24/7, with monitoring up to every minute from locations across the globe. The service will provide a detailed breakdown of any performance problems such as DNS time, time-to-first-byte, and transfer time.

Performance Metrics (NF.0082)

The Geographic Solutions Team uses DeepMetrix's *LiveSTATS* software to track website visitors and page statistics for GUS. This software will track visits, Web pages, bandwidth, search engine keywords and more. The utility will also provide custom reporting, forecasting, report e-mailing, PDF exporting and executive summaries.(NF.0082)

Metadata (NF.0084)

The proposed GUS/UCCBIS system will support the centralized storage of business and technical metadata.(NF.0084)

5.3.d.v Disaster Recovery (NF.0085–NF.0091)

The Geographic Solutions Team is proposing to use Computer Associates' *ARCserve* backup software to provide full and incremental data backup and recovery capabilities for all software and data on the system (NF.0085, NF.0089). This will include recovery procedures for all backups taken (NF.0086). *ARCserve* supports restoration of data and services on a priority basis, such that priority data are accessible while the recovery is completed (NF.0087). The *ARCserve* system will ensure that no data is lost (NF.0088). It is recommended that all backup tapes be stored in a secure offsite location.

The Geographic Solutions Team is proposing that the new system will in the event of loss of service have a Recovery Time Objective of less than 72 hours (NF.0090) and a Recovery Point Objective of less than 24 hours (NF.0091). As the proposal is to have a mirrored database offsite that is continually updated, actual recovery times should be measured in seconds not hours. For more information on this offsite disaster recovery capability see Section 5.3.e

5.3.d.vi Events and Scheduling (NF.0092–NF.0105)

GUS includes a comprehensive set of user friendly tools for events and scheduling. This includes:

- Scheduling appointments and events within the system tied to a date and time
- Scheduling events within the system tied to a change in state within the system
- Defining the action to be taken as a result of scheduling an event or appointment
- Providing permissions to turn events on and off

The following sections outline the features in GUS for events and scheduling:

Personal Calendar and Scheduling (NF.0092–NF.0101)

The GUS *Appointment Scheduling Component* is a comprehensive calendar and scheduling system that is designed to facilitate event scheduling and appointment management between staff and external customers, including claimants and employers. The system includes the capability to set reminders and automated notification. The system operates in a similar fashion to the Calendar function in Microsoft Outlook.

From the calendar staff can:

- Use controls on the top of the calendar to move to calendar pages for different months/years
- Display appointments in a calendar or list format
- Click on appointments(from the Calendar or List screen), to open a detailed screen
- Add/schedule appointments(NF.0093) and events (NF.0092)
- Edit and delete scheduled events and appointments (NF.0098)

- Delete appointments

When a user creates a new appointment or event they enter the subject (comments), location and time of the event, and a reminder time. The user can enter a detailed message (comment) that can be automatically spell checked (NF.0094). They also can also select to invite one or more staff members and/or claimants and/or employers and/or education providers. The user can also determine if the selected attendees will receive a notification of the appointment once it is created, and the option of setting a reminder. This notification is sent to the user's message center and/or email address (NF.0097). There is also an option that will download a vCalender file that will automatically add the appointment to programs such as Microsoft Outlook.

The staff member can suspend (NF.0099) or cancel (NF.0100) a scheduled event or appointment and the attendees will be notified The staff member will also be able to attach a document (e.g. a .pdf file) to the appointment (NF.0096).

When a user receives a notification of an appointment they are able to accept it, decline it, or say that they are tentatively accepting it. The GUS *Appointment Scheduling Component* includes a screen where the staff member can view the status and manage all the potential attendees. Using GUS, a staff member can view their own appointment calendar or can view that of a registered claimant or employer provided that they have the authority to access their account. The system also includes a history of the scheduled events will be maintained (NF.0101).

The Geographic Solutions Team is proposing to modify the *Appointment Scheduling Component* to associate the scheduled event with a system record (NF.0095).

Scheduling via Business Process (NF.0102–NF.0105)

Within the workflow of the GUS application there will be situations where appointments will be automatically set for staff and external customers based on the business requirement. The system will generate appointment confirmation notifications (NF.00104).

The system will be modified to add the flexibility for this automated scheduling to take into account factors such as time off and work hours in a similar fashion to that which is currently available in EFM for REA services (NF.0102). The system will also be modified to provide the ability to execute system events based on a user configurable schedule (NF.0103).

Alerts

GUS lets staff members define and customize alerts they will receive for specific customer activities, and lets them review these alerts and choose whether to delete or keep them. The alerts may include individuals that are nearing the expiration of their benefits.

System-Wide Events

Under the GUS *Appointment Scheduling Component,* staff can create notifications of events that may be of interest to all individuals and/or employers. For example, a workshop on how to apply for TRA to be held in an area affected by the relocation of a major employer. These events can be tied to a specific office if required. The system will allow staff to manage the attendance at these events, including allowing online registration and setting attendance limits.(NF.0105)

5.3.d.vii Imaging (NF.0106–NF.0123)

The GUS solution includes a *Document Management Component* that provides an integrated set of tools for inputting images and managing documents. (NF.0106) The use of these tools will significantly enhance internal employee productivity and improve the services provided to external customers. These tools will result in improved information availability and increased information security. Generally the reduction in the dependence on paper documents will reduce costs and have side benefits such as improved business continuity and disaster recovery.

The GUS *Communications Center* provides the following capability

- Scan all documents and correspondence
- Scan documents in bulk or on a personal ad hoc basis

- Group related documents such as Claims and supporting documents
- Attach documents to an existing work task and work flow
- Attach documents to a new or existing case record
- Store multiple versions of documents
- Scan and attach supporting documents for eligibility or other reviews
- Share associated documentation with other staff and stakeholders
- Conduct eligibility and other monitoring reviews remotely

The GUS *Document Management Component* provides two general modes for imaging and document management. These are:

1) **Bulk Imaging and Document Management –** Through the *ISynergy* enterprise-class, integrated content management software solution and *ScanDox* enterprise document capture solution from [redacted]. Documents will be scanned in bulk and transferred in bulk to the GUS image repository.
2) **Ad Hoc Imaging and Document Management** – [redacted]

The following sections outline the features in GUS for events and scheduling:

Fax to Image Capability (NF.0107)

The GUS application will be linked to a fax server. This provides the ability to instantly retrieve any fax image through the Web interface. (NF.0107) This is accomplished by configuring the fax server to receive incoming faxes and convert them to an electronic TIF document image. The fax server will then be setup to take the electronic document images and save to the GUS image repository. This will be configured separately for each fax line.

There are then two processing options:

1) At manual process where the fax image will enter a user's queue were they can review the document and classify for retrieval. In the appeals process for example the user will enter the claimant's name, appeal number, or any other fields defined for searching.
2) As automated process which reads barcode identifiers that were included in a piece of outbound correspondence. By adding barcodes to all of your outbound correspondence the classification process can be fully automated.

Direct Email-to-Image (NF.0108)

The GUS *Document Management Component* will be seamlessly integrated with Microsoft Outlook providing the capability to capture emails and corresponding attachment quickly and easily. This is accomplished by installing a Microsoft Office plug-in. Users will simply right click an email or multiple emails and select the *Send* button. Once the option is selected in Outlook the user can classify each email and attachment for submission into the electronic repository. (NF.0108)

Document Administration (NF.0109-NF.0110)

The *GUS Administration System* gives an authorized administrator the ability to maintain all document types. When a new document type is needed administrators utilize the Web-based interface to update the list. (NF.0109). In addition, administrators have the ability to create customized document types lists for work item queues based upon permissions (NF.0110). The work queues/work items can be assigned to users automatically based upon document type and the state of the record assignment. The administrators can adjust lists and queues on the fly in order to adjust the needs of changing business rules.

Identifying Documents (NF.0111)

The GUS *Document Management Component* will provide two options for automatically capturing documents from system-generated correspondence. These are:

1) Barcode - The *xTractor* Barcode and OCR recognition engine will automatically identify document types and place them in the correct location/filing cabinet. Additionally, using the *xTractor* application system generated correspondence will be updated to include a barcode that identifies the document type and case number. This correspondence is sent to the claimant for signature. The claimant then signs the document and mails it back to the central Agency office. In the central office (or offices) they will then simply scan and submit the document to *xTractor*. The barcodes will then be read and automatically indexed into the *GUS Document Repository*. This saves staff time by not having to manually index the document. It also prevents data entry mistakes. The *xTractor* application can also pass the document to a data exchange process once the barcodes have been read in order to retrieve additional information based on the claim number like claimant name. (NF.0111)

2) Acrobat File - The *iDox* PDF capture engine allows administrators to capture documents generated by internal systems with 100% accuracy. For example, if a new policy document is sent to a claimant for their review that does not require them to sign or return, *iDox* is the perfect solution for automatically storing a copy of the document. The *iDox* engine requires that a .pdf file copy of the correspondence be generated as part of the printing process. The *iDox* application will then pick up the .pdf file, read the claim number and document type (not using a barcode) and store in the GUS repository. A .pdf file can be generated that contains thousands of correspondence copies from separate claimants. The *iDox* application will automatically separate the large .pdf file into the different correspondence types and index into the repository. This process eliminates the need to manually index any system generated reports or correspondence.

Metadata (Indexing) Information for Documents (NF.0112 and NF.0113)

The GUS *Document Management Component* enables users to capture metadata (indexing) at the point of scan or capture (NF.0112). Users can enter the metadata manually and the system can be configured to automatically recognize index data based upon zonal OCR techniques. There is no limitation on the number of indexing fields that can be created. For example, in the appeals process there would be fields for Claim Number, Claimant Name, Claim Date, Document Type, or any other required data. Administrators can easily add indexing fields if requirements change.

The capture and indexing of metadata will take place in two modes:

1) **Bulk Indexing** – This will be via the *ScanDox* enterprise document capture solution from [redacted]. Documents will be transferred in bulk to the GUS image repository.
2) **Ad hoc Indexing** – This will take place within the GUS application, where an individual staff member will then be required to manually index them. If they are managing a claimant the image will automatically be associated with that individual's account.

The GUS *Document Management Component* provides the ability for users to manually update index (metadata) information based upon the logged in user's permission set (NF.0113). The metadata can be adjusted through the browser interface or automatically based upon the integration with the line of business applications. As an example, if the claimant's last name changes and all documents related to that claimant need to be updated. The user will search for the claimant, select all records, enter the new last name, and submit. Now all documents stored for that claimant are instantly updated.

Manipulating Documents (NF.0114-NF.0115 and NF.0019-NF-0121)

The GUS *Document Management Component* allows users to reorder, delete, append, or separate pages on the fly through the browser based document viewer (NF.0114). The capture mechanism of the solution also allows for thumbnail and page manipulation. Each of these actions is individually recorded by the providing a complete audit trail of who/when/what changed a record. When an operator receives multiple documents for multiple claims they will have the ability to scan all pages in one large batch with the *ScanDox* application. Once scanned into the application, the user can place their mouse over the pages and the *ScanDox* tool will automatically flip them for review. The user can then select a page that is the first page of a new document and split into a separate document. They will continue this process for all documents scanned into the batch. They also have the ability to drag-n-drop pages into the proper order if scanned out of order. Delete, merge/join and append are also available features (NF.0114).

The GUS *Document Management Component* gives users the ability to manipulate document images with annotations, redactions, magnifications, drawing, and rotation options. These options are available based upon a user's permission set. Each of these actions can be applied permanently or reversed as the image manipulation is stored in the database as to allow for quick modification and export if necessary. An example would be that a faxed piece of correspondence is received in the system, but was faxed upside down. The user has the ability to quickly rotate the document to the proper orientation through the Web interface (NF.0115).

The GUS *Document Management Component* includes data verification tools that make the user aware that the same document has been imaged. When a new document is received the operator scans the document with the *ScanDox* capture tool, indexes the document, and submits into the GUS repository. If someone else picked up the same document and tried to re-submit, the *ScanDox* application has the ability to self-reference its own database and show a list of all the documents already scanned for that claimant. The user will clearly see that the document has already been imaged if on the list (NF.0119).

The GUS *Document Management Component* is designed to permit the user to view multi-page correspondence as one document. For double sided documents it is required that the scanner supports duplex (dual side) scanning. Each document includes all the page(s) of the specific correspondence type. Users can easily flip through the pages, view each page as a thumb nail, or select our page and thumb nail view (NF.0120).

The *ScanDox* capture tool provides the ability to capture an envelope with postmark. Once the envelope is captured the user selects the *Scan to Current* option to merge the correspondence with the envelope (NF.0121).

Document Redaction (NF.0122 and NF-0123)

The GUS *Document Management Component* has the ability to redact information on imaged documents already stored the repository and before submission through the *ScanDox* capture software. As an example, a document might be scanned with *ScanDox* and contain a Social Security Number that needs to be redacted. The operator simply scans the document, selects the page that needs a redaction, clicks the *Redact* button, and draws a box to redact the SSN. This is also a capability to auto-redact if it is known that the element such as SSN is always going to stay in the same coordinates on a specific correspondence type (NF.0122).

The GUS *Document Management Component* solution gives the user the ability to view redacted information if you have the correct permissions (NF.0123).

Routing Documents (NF.0116-NF.0118)

The GUS *Document Management Component* can automatically categorize documents such as unsolicited correspondence to the appropriate business record/case file with advanced OCR techniques (NF.0116). These items will be associated with the appropriate case through unique identifying information on the document or through basic indexing upon entry into the system.

The system can be configured for automatic assignment/recognition based upon many factors such as location of entry, OCR capabilities, .pdf extraction options, and line of business integrations. For example, a letter is received from a claimant as proof of employment. In the Central Office an operator will scan the letter using the *ScanDox* capture application. In *ScanDox* the user will enter the appropriate case number, claimant name, and type of document. Additional index fields can be added as required.

The process can be simplified if claimant data has already been stored in GUS. In this case the user will only have to enter the first few numbers of the case number to automatically lookup the data. Once they have identified the correct case number they can then automatically retrieve the additional information such as name and date. The letter will then be stored in the GUS repository under the correct case number.

In the GUS *Document Management Component* correspondence can be routed to any work queue within guided by business rules (NF.0117). The imaged correspondence is treated like any other record within the system and can be manipulated / routed to any location or user within the solution.

Unidentifiable correspondence can be routed by manual OCR recognition or manual classification. As an example, unidentifiable correspondence is received in the Central Office. A user there will scan the document and classify under a status of unknown. A work queue is waiting for new incoming documents classified as "Unknown." Once the document enters the queue it will be automatically routed to specialize personnel for identification (NF.0118).

5.3.d.viii Interfaces and Interoperability (NF.0124–NF.0135)

Geographic Solutions has a team that is dedicated to the creation of interfaces between our products and third party systems. This team creates both batch interfaces and real time interfaces using Web services. Our approach to building these interfaces is described in detail in Section 5.3.g.

Interfaces (NF.0124–NF.0133)

The GUS *Administration System* includes an advanced Web interface for importing and exporting data into the database. The *DataLoader Component* provides an intuitive, easy to use interface. It will perform the following functions:

- Export data from records or reports in a secure and traceable variety of formats
- Import data from files of a variety of formats such as flat files and Excel spreadsheets
- Map data in/out of the system using a user-friendly wizard

The *DataLoade*r *Component* is divided into 3 major functional areas: *Importing*, *Exporting*, and *Configuration*.

The functional area of *DataLoader* known as the *Import Tool* allows staff users to import data tables from outside sources and then upload the data to existing tables. During this process, the *DataLoader* intuitively determines if there are any errors during the upload including problems with referential integrity, and it will list those errors in an error report for staff review. Staff can then review the data, correct the issues, and import the information again. This data can be reviewed and modified using other applications, such as Excel, and then re-imported. The *Import Wizard* converts data into the GUS database structure from files in Microsoft Excel, ASCII Tab Delimited, CSV, and FoxPro (NF.0124). The *Export Tool* allows staff users to export data from the GUS database structure to another location and format, including Microsoft Excel, ASCII Tab Delimited, CSV, and FoxPro (NF.0125).

The *Configuration Tool* provides the ability to maintain external system information, such as connection strings, file paths, etc. (NF.0126). Transactions (scripts) can also be scheduled to occur at specific times and in specific orders using the *Configuration Tool* (NF.0129). The *Configuration Tool* includes a log of all imports and exports and includes details of the transaction including total number of records successfully loaded, date and time of transmission, amount of time to execute the interface transmission, and any errors that occurred and on which record (NF.0130, NF.0131).

A significant advantage of the *DataLoader Component* is that if a failure to execute an import or export occurs the user can review the error log a select to restart the process at the point of failure (NF.0132).

The *DataLoader Component* provides the ability to exchange data through batch file and Web service (NF.0127). It is completely Web-based, so it has the ability to provide remote interfacing and interoperability with all remote offices and telecommuters (NF.0128).

The Geographic Solutions Team is proposing to modify the *DataLoader Component* to associate information received via interface with the line-of business record which generated the information request (NF.0133).

Interoperability (NF.0134–NF.0135)

The GUS *Communications Center* supports the output of bulk data information to be printed and mailed (NF.0134). This will be modified to meet the format of the AWI bulk mail system. GUS will be modified to include the acceptance of credit card payments (NF.0135).

5.3.d.ix Notes (NF.0136–NF.0145)

GUS includes comprehensive case notes functionality. This includes the ability to:

- Document information relative to a record, case or document
- Search the notes fields
- Develop reports that include notes fields
- Create, edit, delete and print notes

Authorized staff uses the GUS *Case Notes Tab* to record pertinent details, comments, notes, or client observations about the customers they serve. This includes both claimants and employers (NF.0136). Case notes may be suppressed to prevent or hide sensitive information from fellow staff. The system offers full spell check functionality to ensure all case notes display proper spelling (NF.0140).

The system supports multiple case note types and these may be manually entered or system entered (NF.0137). All case notes can be accessed from the *Case Notes Tab*. However, specific case note types will be accessed from certain areas of the system. For example, any adjudication case notes for a claimant would be accessible from the main *Non Monetary Tab* screen.

GUS also provides a case note template option, allowing staff to create a custom case note for repeated use with multiple customers (NF.0141). The template will pre-fill the case note with the information that is pre defined (NF.0144). Documents such as .pdf files can also be attached to case notes.

GUS includes functionality to filter case notes using a variety of criteria including status, date range, type, classification, and staff member (NF.0142, NF.0143). Notes can also be sorted by a variety of fields including create date, type, and subject (NF.0138). Multiple case notes can be printed or deleted at once (NF.0145). GUS provides a full audit trail/history of changes to each case note.

The Geographic Solutions Team is proposing to modify the GUS case note functionality to provide the ability to "thread" case notes (NF.0139).

5.3.d.x Policies and Standards (NF.0146–NF.0149)

The proposed solution from the Geographic Solutions Team:

- Complies with the current version of NIST Special Publication 800-53 – Recommended Security Controls for Federal Information Systems and Organizations, as revised, for moderate-impact information systems (NF.0146).
- Complies with Section 508 of the Disabilities Act as well as World Wide Web Consortium (W3C) Accessibility Guideline standards (NF.0147).
- Complies with the current requirements of the Florida Accessible Electronic and Information Technology Act (NF.0148).

In addition, we will ensure that all automated interfaces with external partners adhere to the privacy and security policies established between the external partner and UC for the exchange of data (NF.0149).

5.3.d.xi Record Management and Audit (NF.0151–NF.0164)

GUS provides logging on several different levels that include activity and event tracking that occurs. This includes:

- All accesses and attempted accesses are logged at the network's Internet perimeter.
- All navigation within GUS is logged and reported.
- Additionally, GUS has an auto-error function that will automatically notify Geographic Solutions support staff (via e-mail) of any errors that end-users encounter, and the specifics of those errors.

Audit Trail (NF.0151-NF-0156 and NF.0164)

GUS includes a comprehensive audit trail of all key data changes in the database in the form of history records (NF.0151). The audit trail covers *Who, What, When, Action, Business Transaction, Original Value*

and *New Value*. This includes tracking the date/time the action occurred, the user performing the action, what was changed, the action that was undertaken, the data impacted by the action including the original value and the new value (NF.0155). Modifications in data can be traced back over time, including updates and deletes, the user making the modification, and the date and time the modification was made.

The GUS *Audit Component* provides the ability to display audit-trail information by entity, which includes data actions such as read, write, update and delete, archiving and printing, including date, time and function of the data action (NF.0156). The system uses the server's internal system clock to generate time stamps for audit records (NF.0164). The *Audit Component* records data output and its intended destination (NF.0152) and data import, its source, and its point of entry (NF0153) and system and user generated notifications (NF.0154).

Audit Administration (NF.0157-NF-0163)

Access to the GUS *Audit Component* is restricted to those users that are granted the privilege (NF0162). The system will allow an administrator to select which auditable events are to be audited by specific components of the system (NF.0157). The system will also allow the administrator to independently select and review the actions of any one or more users regardless of access privileges (NF.0158). The retention of data can be configured by an authorized systems administrator (NF.0159).

In the event of an audit failure an error message will be created and an email will be generated (NF.0160). In the event of notification of such a failure the GUS system can be shut down or switched to a "read only" mode that will prevent any modifications to data taking place (NF.0161).

The Geographic Solutions Team is proposing to modify the GUS *Audit Component* to provide the capability to automatically process audit records for events based on selectable event criteria (NF.0163).

5.3.d.xii Reporting (NF.0165–NF.0204 and NF.0391)

Our cutting edge GUS technology includes a state-of-the-art reporting solution for UC Staff. Staff users can create reports that display information about the claimants and employers using the system, reports that indicate the methods they use to access information in GUS, reports on services that are provided, performance, etc. These reports can help staff members to manage and quantify their workload, identify cases that require follow-up activities, and run federally mandated reports. The system supports the following functionality:

- Access to standard reports
- The ability to write and configure reports that access any data element in the system subject to security requirements
- Compare data within and across the UC program
- The ability to design and execute ad hoc reports
- Export the data contained within a report in multiple formats to a local storage device

The GUS solution will includes an extensive list of state and federally required reports. Geographic Solutions specifically developed many of these user-friendly reports after gathering input from UC professionals at the local and state levels. State and federal laws were also used as standard guidelines to create reports that comply with all federal data collection and reporting requirements, and collect data needed by State agencies.

On Demand and Ad Hoc Reports (NF.0165–-NF.0183 and NF.0202)

The proposed GUS application will automatically calculate and create reports that meet the reporting requirements of Florida AWI, as well as many other reports. The system shall provide the ability to report on any data element in the system (NF.0165). All the reports in the *Reports Module* maintain a consistent interface (NF.0183) and provide information to the user in a drill-down manner. With our standard maintenance, Geographic Solutions will keep GUS current with all federal reporting requirements, taking this burden off AWI. As the reporting requirements change, the flexible core components can be rapidly modified to meet the new reporting requirements.

The following are the main type of reports in GUS:

Executive / Dashboard Reports – The GUS *Reports Module* includes an extensive list of summary and status reports designed to provide management with an overview of the current position of the system. These include dashboards that display the current data using user-friendly charts and gauges. These dashboards utilize on-demand queries and standard reports to provide information to the user in a drill-down manner (NF.0202).

Also included in the executive reports are detailed trend reports. These provide for year-to-year, month-to-month, period-to period, year to date, and life to date comparisons on reports (NF.0177).

Detail Reports – The GUS *Reports Module* includes an extensive list of claimant, employer, program, case management, and other reports that are not state and federally required reports, but are very useful to staff members either for predictive reports or for specific data on claimants, employers, activities, security, and other information available within the system. This component of the system will include the more than 400 non-Federal reports that are required by AWI for the UCCBIS.

These are on-demand reports (NF.0167). Each detailed report includes a page of filters and user defined parameters that will be applied to the report (NF.0166). For example, when outputting a report listing the new claimants for today screen above indicates the available filters. Once a the user has indicated the parameters of a *Detailed Report* these definitions can be stored in a shared area so the report can be re run by the user themselves or for use by other users that can then easily run the report (NF.0182).

There is no limit on the date ranges available (NF.0176). The filters provide the ability to report based on calendar year, fiscal year and performance year data (NF.0175).

The output options for these reports include a tabular display and also the ability display as graphs (NF.0179). The reports may also be saved to .pdf or Excel, or a delimited text file.

Geographic Solutions is proposing to modify the *Detailed Reports* to provide the option to place text at the bottom of the report indicating that the report contains confidential data (NF.0181).

Integrated Federal Reporting – In the GUS *Reports Module,* monthly and quarterly federal reports such as the *ETA 5159 Claims & Payment Activities* and *ETA 207-Nonmonetary Determinations Activities*, etc., will be generated at the touch of a button. The system will generate all 34 federal reports this way. The GUS *Reporting Module* includes integrated federal reports that are accessible to staff users who have authorized access and system rights (established by the system administrator on the staff member's login) to view this data and generate reports through the staff user interface. The system rights and access levels protect data confidentiality. There are no requirements to export any data files to run GUS's federal reports.

Ad Hoc Reports – Beyond the numerous standard reports and federal reports, staff can use the *Ad Hoc Report Query Tool* to create real time client-specific data queries for any data in the GUS databases (provided they have permissions set to access that data). The *Ad Hoc Report Query Tool* provides the ability to report on any data element in the system (NF.0165). This query tool provides online reporting and query capability with the ability to reference an interactive online data dictionary (NF.0168) and to design on-demand reports (NF.0169).

The *Ad Hoc Report Query Tool* allows users to modify report queries on-line (NF.0170) and create reports with defined calculations (NF.0178). The tool guides the user step-by-step through report creation (NF.0171). The tool provides the ability to include run-time parameters for these ad hoc reports (NF.0173) and provides the ability to sort, group and filter the data (NF.0174).

Once an ad hoc report is created the tool allow the query definitions to be stored in a shared area for use by other users that can then easily run the report (NF.0182).

Custom Reports – When staff members use the *Ad Hoc Report Query Tool*, or their own Sequel query skills to create a custom report from the GUS databases, they can post those custom reports to be accessed with the other standard reports, using all of the same filtering and sorting controls, and

incorporating those controls into their customer report. With this capability users can design their own on-demand reports.

Authorized staff can create their own reports using *SQL Server Reporting Services*. This application provides a full range of ready-to-use tools and services to help create, deploy, and manage reports. *Reporting Services* is a server-based reporting platform that provides comprehensive reporting functionality. *Reporting Services* includes a complete set of tools to create, manage, and deliver reports. With *Reporting Services*, GUS users can create interactive, tabular, graphical, or free-form reports from the GUS database. *Reporting Services* includes a user friendly graphical report layout tool to assist users in formatting reports and queries (NF.0172). The *Custom Reports* can be organized into defined categories (NF.0180).

Scheduling Reports (NF.0184–NF.0191)

Geographic Solutions is proposing to modify the GUS *Reports Module* to include the ability to schedule reports and run them in batch (NF.0185). This will provide the ability to schedule a report to run without user intervention if certain user defined conditions are met (NF.0184). The system will execute scheduled online reports in the background and allow users to continue working (NF.0186). The user will be able to view the progress of any of these reports (NF.0187). The report scheduler will permit the user to set thresholds for query workload (NF.0188) and also delete user created reports (NF.0190). The system will cancel a query if it fails to meet system administrator defined criteria (NF.0189). The system will also support report distribution based on reporting conditions, such as user defined data values (NF.0191).

Report Output (NF.0179 and NF.0192–NF.0201)The user of the GUS Reports Module *has full control of the output from these reports. This includes:*

- The ability to set the orientation of the page - portrait or landscape (NF.0192)
- The ability to preview the printout first (NF.0193)
- To ability to print a range of pages (NF.0195)
- To ability to set the number of copies (NF.0197)
- The ability to set the number of rows per page (NF.0194)
- The ability to display graphs and charts (NF.0179)
- The ability to output the report to another format. These are Microsoft Excel, CSV, Delimited Text File, .pdf file format (NF.0200)
- The ability to set the output destination of the report to screen, printer (local or network), file, fax or email (NF.0198)
- The ability to route reports to various network printers as defined by a user (NF.0196)

The *Reports Module* includes the capability to indicate that a “snapshot” of the data that was used to create the report be saved and archived (NF.0203, NF.0204, NF.0391). This is particularly important on key federal reports.

The Geographic Solutions Team is proposing to use online analytical processing (OLAP) to provide a multidimensional data model or cube, allowing for complex analytical and ad hoc queries of a historic database of key data from the GUS UCCBIS application (NF.0201). This will be implemented using Microsoft *SQL Server Analysis Services.*

The Geographic Solutions Team is proposing to modify the GUS *Reports Module* too allow users to indicate that they wish to email or fax reports as .pdf files through the Communications Center in addition to printing them or saving them to a variety of file formats (NF.0199).

5.3.d.xiii Search and Navigation (NF.0205–NF.0229)

GUS’s Web-based design is extremely user-friendly and incorporates three interface options: the Web Theme, Text Theme, and the *S*creen Reader Theme. These options permit users to effectively access the system under a variety of conditions, including Internet access speeds.

Navigation (NF.0205–NF.0209)

The interface provides the following navigation features:

- The ability to open multiple screens/windows (NF.0205).
- The ability to access the menu structure or a navigation path while executing business functionality (NF.0206).
- Short-cut keys to move between modules and menus (NF.0207).
- The ability to navigate between related functionality within a line-of business record without re-entering the original search criteria. (NF.0208).
- Provide Wizards that present a sequence of screens and fields enabling users to access, modify, skip or jump to other areas of interest for data entry based on the administrator-defined navigation (NF.0209).

Search Functionality (NF.0210–NF.0215 and NF.0220 and NF.0226)

GUS supports an advanced search capability and can execute searches using configurable, complex criteria across a variety of information sources and formats (NF.0226). The user can create and execute custom searches on information in the database where multiple search criteria and the search can access information stored in separate tables and repositories with a single query (NF.0212). The system can execute these advanced search functionality from any multiple locations within the system (NF.0213).

GUS supports sophisticated searches on character string columns. The system processes full-text job search queries and determines which entries in the job index meet the full-text selection criteria (NF.0210). For each entry that meets the selection criteria, it returns the identity of the row plus a ranking value to the application, where this information is used to construct the query result set. The types of queries supported include searching for:

- Words or phrases.
- Words in close proximity to each other.
- Inflectional forms of verbs and nouns.

The full-text job search engine runs as a service on the server. Transact-SQL statements combine full-text searches referencing SQL Server tables with textual searches of file data by using both the full-text SQL constructs with distributed query references to the OLE DB Provider for Indexing Service.

GUS provides both a basic quick search capability together with the option for more advanced searches. For example, the system has a Google-like interface for keyword searches (NF.0211). This includes a simple text entry and search with the option for providing more options in the advanced search mode as shown in the figure above. In addition the user can combine multiple search criteria using logical ‘AND’, ‘OR’ and ‘BETWEEN’ operators (NF.0220).

GUS supports the use of "wild cards" in search and query functions and the system provides the ability to search and retrieve records matching compound search criteria (NF.0215). Prior to initiating a search the system requires at least one search criteria to be populated (NF.0214). The system has the ability to search and retrieve records matching compound search criteria and to perform advanced searches based on configurable criteria.

Search Results (NF.0216–NF-0219 and NF.0221-NF.0229)

GUS provides the ability to search and retrieve matching complex compound search criteria (NF.0221) and configurable criteria (NF.0226). The search results are displayed in a standard table format where the data can be sorted by each data column (NF.0217). The results can be displayed in a summary mode that displays one row per record, or in a detailed mode that displays more data with several data elements per row. In some cases search results may be logically grouped (NF.0216). To see more information on an item the user clicks on a Select link in the specific row (NF.0218). The user can also further filter search results (NF.0219, NF.0225). The user can save searches with user-defined names once they are defined (NF.0222). The system user can specify how many records per page they wish to display via a pull down (NF.0224). The system displays to the user the total number of records found that match the user's query (NF.0229).

Within the GUS *Document Management Component* users can search for and include in their results set unstructured data such as Microsoft Word documents and Adobe Acrobat files (NF.0223).

GUS always prompts the user to save a work in progress (NF.0227). The limit on the number of records retrieved in a query can be set as a system setting by an authorized system administrator (NF.0228).

5.3.d.xiv Security (NF.0230–NF.0283)

The GUS solution incorporates a full role based security model that allows administrators to assign access permissions to users based on the roles they play. This role based security provides administrators fine control over the operation of the entire system. These permissions and other security features are controlled from the GUS *Administration System*.

Staff Access Privileges (NF.0230–NF.0233)

The new UCCBIS will provide database access and personal data storage capabilities for users at several different levels (staff, managers, and system administrators). Within the GUS *Administration System*, authorized administrators can manage the security and access levels of users. They can allow or disallow access to the various components of the system, screens, screen functions by role, office, etc. The system controls access to data and functionality at a very granular level (NF.0231, NF.0232).

The GUS *Administration System* allows the Agency to enforce display, entry, modification, deletion, and exchange of information using the "Principle of Least Privilege" (NF.0230). The system provides varying levels of permission. These permissions vary depending upon the specific data and functionality in question. The permission may be a simple yes/no access or more sophisticated. An example is the permissions for *Correspondence Templates* shown in the screen above. The permissions include *No Access*, *View Only*, *Create*, Edit and *Delete* (NF.0233). A "restriction" is also defined. In this case the values of the "restriction" are *All*, *Own Letters* or *Own Office*. The Administrator can thus define what privileges a staff member has regarding *Correspondence Templates* when accessing their own letters and those of others.

Group Access Privileges (NF.0234–NF.0236)

The *Administration System* allows authorized users to define the access level and permissions by groups For example, some staff will be able only to view certain data while others will be able to view and modify this data. A combination of privileges can be assigned to specific groups (NF.0234). Users may then inherit privileges from a group and then the administrator may customize the privileges and roles of the specific user without modifying the original profile or role (NF.0235).

Geographic Solutions is proposing to modify the GUS *Administration System* to provide the ability to assign role(s) to users effective for a specified date range (NF.0236).

System Access – Usernames and Passwords (NF.0237–NF.0246)

GUS includes a single integrated logon to access all functionality within the system (NF.0237). All user types access the system from the same login. Their username and user type determine the functionality they will be able to access. GUS provides users with secure passwords and ensures protection of confidential information. This password is always displayed as masked and never shown as clear text (NF.0238). During registration, users may choose any password (with size, case, and special-character business rules configured for the system). The system has an option to establish Resource Access Control Facility (RACF) rules for passwords including the requirements to periodically renew passwords, character number combination requirements, etc. The system can also be configured to automatically disable the user account when based on an administrator configurable number of unsuccessful logon attempts is exceeded (NF.0241).

Geographic Solutions is proposing to modify GUS to provide a warning of password expiration based on an administrator configurable number of days prior to actual expiration (NF.0239) as well as provide the user with a final warning to change his/her password prior to password expiration (NF.0240).

GUS will also be modified to limit user logon to one workstation at a time (NF.0242) and to limit the number of concurrent sessions for each user account to an administrator configurable number (NF.0243). When the user accesses GUS, they will be presented with a message that will be provided by AWI, prior to granting access to the system (NF.0245). Upon access to the system they will be shown the date and time of their last access (NF.0244). This notification message will remain on the screen until the user takes explicit actions to log on to system (NF.0246).

Session Management (NF.0247–NF.0249)

GUS generates a unique session identifier for each session and only recognizes system-generated session identifiers (NF.0247). GUS prevents further access to the system by ending a session and deleting the session ID after an administrator-configurable period of inactivity, or based on user actions (NF.0248). A logout link is present at the top of every screen in GUS (NF.0249).

Account Management (NF.0250–NF.0251 and NF.0254–NF.0261 and NF.0264)

Within GUS authorized staff can create and modify accounts for claimants and employers as outlined in Section 5.3di (NF.0250). During or after account creation the user can be associated with a primary and secondary business unit or office within the organization (NF.0251).

To prevent claimants creating more than one account on the system, on registration, GUS checks for the Social Security Number against the database of existing users. If the number already exists the individual will be asked to sign in as that individual. The system also checks key identifying data (Name and Specific Location) and, if a match is found, they are asked to sign in. For employers the FEID and/or Florida Unemployment Number is used to help prevent duplicate accounts (NF.0254).

GUS enforces the administrator-configurable security parameters, such as password strength, expiring passwords, lockout attempts and inactivity timeframes, on login (NF.0255). GUS stores key data for all login attempts as well tracing any change in the user's data. This includes the IP address each time the user logs in. GUS uses an IP location utility to indicate where the IP address is physically located. (NF.0256)

The GUS *Administration System* has the capability for an administrator to revoke or suspend user access for an individual user or group of users (NF.0257, NF.0258).

Geographic Solutions is proposing to add the following functionality to the GUS *Administration System*:

- The capability for an administrator to force logout for an individual user or group of users (NF.0259).
- The ability to deactivate user accounts after an administrator-configurable defined time of inactivity (NF.0260).
- The ability to generate automatic notification of locked user accounts to a security administrator (NF.0261).

The GUS *Administration System* can set user security based on defined organizational units (NF.0264).

Password Reset (NF.0252–NF.0253)

The system provides the capability for authorized staff to reset a user's password without knowing the original password (NF.0252). The system can also generate an automatic notification to the user that the password has been reset and that they need to provide a new password on login (NF.0253). To minimize the workload of UC staff and help desk personnel, GUS includes an automatic mechanism for retrieving passwords if an external client loses or forgets their username and/or password. The user clicks a link and is prompted to enter their name, followed by the answer to a security question, the email address the user entered upon registering and other verification data known only to the user. If this data is verified the user is then allowed to enter with their original password and/or username. When the user accesses the system with that password, they will immediately be prompted to enter a new password.

Administration Reporting (NF.0262–NF.0263)

The GUS *Reports Module* will provide reports on administration data including account status, assigned roles/permissions, user activity history, history of security profile, and changes for a user (NF.0262). In addition, it will report inactive user accounts for specified time periods (NF.0263).

Data Transmission and Security (NF.0265–NF.0279)

In GUS, confidential data files are protected to avoid unauthorized access from outside the system. The built-in security of SQL Server prevents unauthorized access to data. The database server will be

configured to maintain its own set of user IDs and passwords separate from Microsoft Windows NT Server security. This adds an extra layer of protection to sensitive data stored on servers available to the Internet, and helps prevent unauthorized information transfer (NF.0279).

To secure Internet communications in GUS, a Secure Sockets Layer (SSL) encrypts a session between the server and the Web user (NF.0265). Secure Shell (SSH) is used to provide secure data file transfers (NF.0266). SSL is a highly reliable program layer for managing the security of message transmissions in a network. The programming for maintaining data confidentiality is contained in a program layer between an application such as GUS and the Internet's TCP/IP layers. The SSL encrypts the system's data transmission information such as URLs, query strings and connection strings (NF.0270). The combination of the controls in the *Administration System* and SSL encryption gives the means to protect confidential data and access to that data in GUS. This insures that:

- The system maintains the integrity and confidentiality of information during aggregation, packaging, and transformation in preparation for transmission (NF.0272).
- The system protects the integrity and confidentiality of transmitted information (NF.0273).
- The system protects the integrity and confidentiality of information at rest (NF.0274).
- The system will enforce approved authorizations for controlling the flow of information within the system and between interconnected systems (NF.0276).
- The system ensures transactions and messages are accurately received as they were sent and information is not altered by non-authorized individuals (NF.0277).

Geographic Solutions will modify the GUS system to support S/MIME for email communications (NF.0268) and IP Protocol Security extension (NF.0267).

Data Encryption and Virus Checking (NF.0269, NF.0271 and NF.0275)

GUS protects sensitive data that is contained in the data layer using *SQL-Server PassPhrase* encryption (NF.0271). This is an asymmetric key encryption that utilizes the RSA algorithm in 512-2,048 bit keys (NF.0269).

Geographic Solutions will configure GUS to virus scan uploaded files using Agency-approved virus scanning software (NF.0275).

Communication Access Control (NF.0278 and NF.0280–NF.0283)

In the GUS architecture, Microsoft Windows and Microsoft SQL Server 2005 make use of a key hierarchy, which helps to protect application, information, or other resources (NF.0278). This hierarchy is a series of layers, in which each layer encrypts the layer below it.

At the top of this hierarchy is the operating system-level DPAPI (Data Protection API). The DPAPI consists of function calls that can be used to provide operating-system level data protection to both user and system process. The next level down in the hierarchy is the SQL Server 2005 Service Master Key (SMK). A SMK is a symmetric key which is generated when an instance of SQL Server 2005 is installed. Then, the DPAPI uses the password of the account under which SQL Server 2005 runs to encrypt the SMK. The system will monitor and control communications at the external boundary of the system and at key internal boundaries within the system (NF.0280).

GUS will route all access through a dedicated, managed interface for purposes of access control and auditing (NF.0281). The system will also prevent discovery of specific system components composing a managed interface (NF.0282) and will include host-based boundary protection mechanisms for servers, workstations, and mobile devices (NF.0283).

5.3.d.xv System Architecture(NF.0284–NF.0321)

The proposed GUS UCCBIS solution will use a Web-based, SQL relational database system, and will employ advanced n-tier architecture to ensure a robust, scalable framework to allow for easy application customization which can be supported over an extended period. The growth potential is virtually unlimited.

General Architecture and Service Levels (NF.0284–NF.0289)

The new system will support 24/7/365 availability (NF.0284) and a service level of 99.99% availability,

excluding planned maintenance calculated on an annual basis (NF.0285). The GUS solution is a completely Web-based system. The system will be hosted at the State of Florida's Southwood Shared Resource Center (SSRC) and will be accessible in the numerous AWI offices and centers, and AWI offices as well as telecommuters throughout Florida or from anywhere else via the Internet (NF.0286). Using the latest n-tier Internet technology, the system requires only that client workstations have an Internet/Intranet connection and a Web browser such as Microsoft Internet Explorer, Netscape Navigator, or other popular Web browsers.

A unique feature of the systems architecture proposed by the Geographic Solutions Team is that the new Florida UCCBIS solution will share the same database as the current EFM system. It is proposed that UCCBIS will be hosted at the SSRC facility and will be linked via high speed connection to Geographic Solutions' hosting facility in Palm Harbor, Florida. As certain designated "shared" data is updated on the UCCBIS it is updated in real time on the EFM system, and vice versa. This allows the two systems to be completely integrated, providing significant benefits for both workforce and unemployment benefit services.

GUS is a true COTS solution that is completely modular in architecture, allowing for a phased approach to implementation (NF.0287) as well as the flexibility to purchase additional modules at a later date. The application components are fully reusable (NF.0288).

The GUS software is designed to be fault tolerant with roll-forward recovery. An example is the extensive use of step-by-step data entry Wizards that the user is brought back to if there is an issue, such as an error, or even if the user abandons the data input. The systems hardware and infrastructure that the Geographic Solutions Team is proposing is all fault tolerant with full redundancy, including RAID 1/0 storage devices, UPS devices, clustered data servers, and load-balanced Web servers. The database will also be replicated in real-time to a mirrored disaster recovery site (NF.0289).

Integration (NF.0290–NF.0296)

The proposed GUS solution is a completely integrated solution. The system is structured so that when a staff member clicks to send an email their Exchange/Outlook email client is launched from within the application and the message is populated with the appropriate information. Even the GUS *Appointment Scheduling Component* exchanges appointments with Outlook, creating Outlook calendar entries (NF.0290).

Fax technology is also integrated into GUS. Included in the system design is a scalable fax server platform to provide both inbound and outbound faxing capabilities (NF.0291). From the *Message Center* staff can simply click on the fax option to generate a fax transmission to an employer or claimant's fax number.

Client side third-party applications such as Microsoft Office and Adobe Acrobat are launched when a staff member clicks on a document of this type in the document and content management repository (NF.0296).

The Geographic Solutions Team is proposing to integrate the following applications as part of the new Florida UCCBIS solution:

- [redacted] Contact Record Management (CRM) is a browser-based system for the customer service centers to track customer contact through voice calls and inbound and outbound Interactive Voice Response (IVR) technology (NF.0292).
- [redacted] *iSynergy* is a browser-based document imaging technology including print to image (NF.0294) and document and content management repository(NF.0293).

Both these tools are based in class.NET solutions that will integrate directly with the ASP.NET Web pages of the GUS solution via Web service technology.

GUS includes a complete integrated error and exception handling system that will email error messages to a central monitoring facility (NF.0295). Geographic Solutions staff actively monitors this automated error log and responds to incidents that are reported.

Business Rules (NF.0297–NF.0298)

GUS is driven by business rules. They are used throughout the system to validate data entry and determine editability. All the rules are clearly documented and stored in a repository (NF.0297). Many of the business

rules are data driven and can be configured and modified to meet the rapidly changing business requirements in the arena of unemployment compensation and benefits. An authorized system administrator can modify the parameters of many of the defined business rules without significant programming modifications (NF.0298).

System Parameters (NF.0299–NF.0304)

Within the GUS *Administration System* there is a comprehensive set of screens that allow authorized administrators to modify system parameters. Modifications to these parameter values will not require programming changes (NF.0301). The system will also provide the capability to create and maintain program types and fund codes without programming modifications (NF.0299).

The system will track business rule parameters for different time periods (NF.0300) and will maintain administrator defined parameters to drive business functionality. These parameters will be able to be used globally (NF.0302) or used locally within each business unit (NF.0303). Within the GUS *Administration System* there is a comprehensive set of screens that allow authorized administrators to create, modify, and inactivate look-up values including both codes and code values (NF.0304).

Transactions (NF.0305–NF.0306)

GUS is an interactive system that is designed to "post" data transactions real time (NF.0305). These transactions can be rolled back by the SQL Server database management software in the event of system failure (NF.0306).

Peripherals (NF.0307)

GUS will have the ability to output correspondence to a file that will drive a central high speed bulk printing facility.(NF.0307)

Upgrades and Scalability (NF.0310–.0312)

GUS is built on a robust architecture that provides the ability to support changes in transaction volumes without the need for software upgrades/migrations or significant code reengineering (NF.0311). The system will provide the ability to accommodate subsequent development, change of business process, access channel, and scalability (NF.0310). GUS is a completely modular system and allows the deployment of new functionality without impacting existing non-related functionality (NF.0312).

The same system architecture that is used for GUS is currently employed by EFM. Since the launch of Phase LLC of EFM in January of 2007, system usage has increased by 450% without the need for software upgrades/migrations or significant code reengineering.

Device Failure (NF.0313–NF.0314)

Gus is a modern, Internet-based application with an n-tier architecture that ensures that the failure of any end user devices, including workstations or printers, will not impact the operation or performance of other devices (NF.0313). The systems hardware and infrastructure that the Geographic Solutions Team is proposing includes clustered data servers and load-balanced Web servers. The database will also be replicated in real-time to a mirrored disaster recovery site. The proposed configuration includes software to manage both application server and database servers (NF.0314).

System Performance Metrics (NF.0315–NF.0321)

GUS uses a client/server relational database system capable of supporting thousands of concurrent users. This scalability ensures that as both the database and usage grow, the system will continue to perform efficiently. This same technology is used to effectively power the State of Florida's Employ Florida Marketplace system that has over 4.25 million registered individuals and over 78 million service records. The new Florida UCCBIS implemented by Geographic Solutions will:

- Provide a transactional response time of no more than 3 seconds excluding network latency (NF.0315). It should be noted that very large complex reports may take longer to complete.
- Support at a minimum 1600 concurrent users at initial deployment (NF.0316).

- Support at a minimum 200,000 concurrent external customers at initial deployment (NF.0317).
- Support the assignment of priority to system functions (NF.0318).
- Support at a minimum 3.6 million claims annually at initial deployment (NF.0319).
- Support at a minimum 1.5 million claimants annually at initial deployment (NF.0320).
- Support at a minimum 250,000 appeals annually at initial deployment (NF.0321).

Geographic Solutions has met similar performance requirements for Employ Florida Marketplace every month for more than five years despite the system usage increasing by 450% in that time.

Miscellaneous (NF.0308-NF.0309)

GUS will support centralized process scheduling mechanisms (NF.0308) and presenting links to external websites (NF.0309).

5.3.d.xvi Usability(NF.0322–NF.0347)

The GUS solution that the Geographic Solutions Team is proposing for the Florida UCCBIS is a state-of-the-art Internet-based solution with a modern Web 2.0 interface. The system has been designed to facilitate quick, intelligent and efficient data entry. It is well organized and very user friendly and will be quickly accepted by both staff and external customers.

General Usability and Navigation (NF.0322–NF.0330)

GUS is designed to make the process of providing unemployment benefits and services as user friendly as possible. This makes the processes more efficient and easier to learn. For example, the system displays descriptions instead of a series of codes throughout the application e.g., 'Male' instead of 'M' (NF.0324). This includes the display of the definition of issue codes. For example, a “01” issue code would have the title “Discharge” displayed in addition to the code.

The system also includes a comprehensive set of real time business rule checks that provides consistency and validity checks on data elements at the point of data entry (NF.0322). This ensures that the data is more accurate, resulting in higher quality data for reporting. The system also helps the user by displaying meaningful error messages that are also logged (NF.0323).

The following are other features that make the system easy to use and efficient:

- The system can associate forms, documentation, and reports to specific types of notifications (NF.0325).
- The system indicates that data entry information has been saved. The system will display a “spinner” during the save process so the user realizes that the save is ongoing (NF.0326).
- The system displays administrator-configurable messages to the user in the event of a system error (NF.0327).
- The system provides the ability to drill down from summary balances to supporting detail transactions and drill up from detailed transactions to the summary balance (NF.0328).
- The system provides the ability to establish administrator-defined business rules for the generation of notifications to appropriate entities for needed actions without user intervention (NF.0329).
- The system provides the ability to establish and maintain a standard set of administrator-defined type codes for creating scheduled events (NF.0330). These are setup in the *Administration System* by authorized users.

Data Entry (NF.0331)

The Geographic Solutions Team recognizes that when the new Florida UCCBIS is deployed, the Agency will still receive a significant amount of information through the mail and other electronic means that will need to be entered into the system. It is therefore critical that manual data entry can occur in a very efficient manner. An advantage of GUS is that it will allow rapid data entry for large volume or high-speed data entry

requirements (NF.0331). All data entry forms are structured to allow ordered tabbing through the fields on forms. This is particularly important for users that are more familiar with data entry on mainframe computer as well as visually impaired users

Data Transmission and Notifications (NF.0332–NF.0335)

Within the GUS *Communications Center* there is the capability to transmit information as internal communications, email, mail, mass mail, fax, and text message. The system has the ability to identify the method of transmission required for each type of notification (NF.0332). The system will also provide the ability to maintain administrator-defined notifications based on business processes and system events (NF.0334).

Geographic Solutions will modify GUS to provide the ability to maintain administrator defined business rules specific to tracking information across multiple time zones (NF.0333).

Data Manipulation (NF.0335–NF.0339)

GUS includes state-of-the-art screens and utilities that are intuitive and flexible and allow staff to easily create and edit data. The system provides the ability to modify previously saved work in progress (NF.0335), complete work in progress (NF.0336).and modify previously saved work in progress (NF.0337). Within the system, users can also easily copy and paste information from and to third party applications such as Microsoft Word (NF.0338).

GUS fully utilizes colors and other visual and non-visual aids to facilitate the ease-of-use of system functions (NF.0339). However, the system complies with accessibility guidelines and color or any other visual cue is not the sole means for identification.

Case Management (NF.0340–NF.0341)

The GUS solution will provide full case management functionality (NF.0340). The Florida UCCBIS Requirements Definition Document defined case management as" generally a collaborative process with a number of contributing users. Tasks, data objects, and documents may be added at anytime, depending on a change in the status of the case in question, all of which need to be traced and tracked (case history) if a successful resolution is to be achieved, with a strong emphasis on information sharing." The capability to provide effective case management is a key component of the GUS solution. Staff users can manage an individual or employer record and easily view all the information regarding the case such as wage transcripts, employment history, etc., documents and correspondence associated with the case, historical data and tasks, etc. Case management is closely tied to the workflow component outlined in the next section.

GUS will be modified to provide the ability to remove incomplete external customer records after an administrator-defined time frame (NF.0341).

Supported Languages (NF.0342)

GUS is designed so that all text can have multiple language versions. Currently the system offers a Spanish language option for external customers. The Spanish-language version is identical to the English-language version in both scope and function. All information is hand translated by staff. The system does not rely on Web-based translators that are notoriously unreliable. Geographic Solutions employs a staff of full time translators to keep all enhancements and changes up to date in their Spanish translation. Geographic Solutions is proposing to add the Creole language for external customers.(NF.0342)

Document Management Usability (NF.0343–NF.0345)

In GUS, document management is integrated into the system and the workflows and processes in the application. The staff member does not have to go to another application to manage documents - they are right at their fingertips with GUS. The system provides the ability for a staff user to interactively upload and attach electronic documents to a record (NF.0344). The staff can also personally scan the document directly if they have a scanner attached to their workstation.

The system will provide the ability for an external customer to upload and attach electronic documents to a record (NF.0343). An example might be a .pdf version of a pay stub. There will be a need to limit the size of any document that the individual will provide and all documents will be checked for viruses prior to upload. The system will allow a staff user to enter any information that is allowed to be entered by an external customer (NF.0345).

Miscellaneous Usability Features (NF.0346–NF.0347)

The GUS solution will also provide:

- The capability to display any data stored within the system (NF.0346).
- The ability to confirm entered information prior to final submission (NF.0347).

5.3.d.xvii Workflow(NF.0348–NF.0387 and NF.0390)

GUS includes a comprehensive and integrated *Workflow Component*. It is very flexible and designed specifically to automate and guide the business processes involved in providing unemployment compensation claims and benefits, including appeals. The *Workflow Component* is structured to improve efficiency and provide better process control. It is important to emphasize that:

- The GUS *Workflow Component* is not just an external third party tool but an integrated component of the system
- The GUS *Workflow Component* is built specifically for workflow for unemployment compensation claims and benefits

Managing Workflows (NF.0364 and NF.0374–NF.0376 and NF.0378 and NF.0382-NF.0384 and NF.0387)

The GUS *Workflow Component* is centered on the process of reviewing and forwarding work items, such as claims, between the staff that are part of the process associated with the workflow. The GUS staff dashboard displays the current work items that a staff user currently is assigned. The staff member can prioritize these work items based on business rules (NF.0364) and can also view these work items in priority order in the dashboard. Within the dashboard the user can sort work items by any work item attribute (NF.0387). The user can easily see the current status/step in the process of a work item (NF.0384). An authorized supervisor or manager can use the dashboard to monitor the workflow items of their assigned staff (NF.0383).

To access a work item, the staff member simply clicks on item in the list and then they can view this item and the actions and/or documentation that are required to permit the workflow to continue to the next step. Staff can approve and reject work items and generate relevant correspondence and notifications to staff users and external customers. The *Workflow Component* can prevent work items from being passed to the next step or reassigned to another staff member until certain business rules are met.

The *Workflow Component* is a key part of case management in GUS in specific areas such as appeals. The system manages the case throughout the various stages in the appeals process and the various staff members that are involved in that process. Staff can add comments and collaborate with other staff in the workflow when reviewing a work item (NF.0378).

Work items will move to the next step in the workflow once the required business rule items have been satisfied (NF.0374). However, the user will be able to put work items “On Hold” (NF.0375) and take them off hold when a condition is met (NF.0376).

Within the workflow a work item will be able to be closed when the last step of the flow is reached and all business rules are met (NF.0382). .

Assigning Work Items (NF.0362- NF.0363 and NF.0365 and NF.0377 and NF.0380-NF.0381)

Using the GUS *Workflow Component* a staff member can assign the work item to another user by selecting them from the assignment pull down (NF.0377). All users will be able to assign work items based on predefined business rules (NF.0363). Only specific users will have the ability to retrieve and assign unassigned work items (NF.0362). When a user attempts to assign a work item to a staff member that is not available for any reason (e.g. vacation) they will be warned of their lack of availability and will have the option to continue the assignment or reassign to another staff member (NF.0365).

A supervisor can review a work item and rejected it return it to the original sender (NF.0380). Work items can be assigned to users outside of the assigned workflow (NF.0381). .

Modifying Workflows (NF.0348 and NF.0350–NF.0354 and NF.0360)

The GUS *Workflow Component* has the capability to maintain workflows and work queues (NF.0348). To edit a workflow group the authorized staff member selects that workflow from the list of existing workflows. The staff member then may select a button to create a new step in the workflow which will provide the ability to re-route a work item within the defined workflow (NF.0351). The user can alternatively click on one of the existing steps. The user is then presented with a series of screens to select and/or deselect the rules that will determine the process to proceed to the next step. This includes the business rules and required documents (NF.0352).

This process provides the ability to define workflow routes and associated details based on defined business processes (NF.0350). Using this method, an authorized administrator can modify workflow routes which are in the production environment (NF.0353) and reassign work items which are “in progress” to the correct workflow step (NF.0354). The administrator may also “turn-on” or “turn-off” review steps in a workflow (NF.0360)

Workflows and Document Management (NF.0369–NF.0371)

The GUS *Workflow Component* can cross-reference documentation with the appropriate work item (NF.0369) and issues notifications as new documentation is associated with the work item (NF.0370).

The system can automatically move the work item to the next step in the workflow once required documentation has been attached to the work item (NF.0371).

Creating Workflows (NF.0349 and NF.0367 and NF.0368 and NF.0372-NF.0373)

Within the GUS *Workflow Component* authorized users can create new workflows (NF.0349). The user is required to define the various steps for the workflow and for each of the steps to specify the business rules and required documents. The system will move work items between workflow steps based on these defined workflow rules (NF.0372). The system will have the ability to trigger a change in the work item based on the change to the related line-of-business record (NF.0373).

The user can setup the workflow to be triggered through the receipt of document or occurrence of an event such as a scheduled appointment (NF.0367, NF.0368).

Work Queues (NF.0359 and NF.0361 and NF.0366)

The GUS *Workflow Component* will manage work queues, and route work items between these queues in accordance with defined rules (NF.0359). The system will also provide the ability to assign workflow users to specific work queues (NF.0361) and set user properties for work queues (NF.0366).

Workflow Administration (NF.0356–NF.0358 and NF.0379)

In the GUS *Administration System,* authorized staff will be able to set the parameters and lookup values that will be used in the *Workflow Component* this includes:

- Authorized work item type codes (NF.0356)
- Rules to work item type codes (NF.0357)
- Periods based on work item codes (NF.0358)
- Values of time-based reminders (NF.0379)

Reporting and Auditing Workflows (NF.0355 and NF.0385–NF.0386 and NF.0390)

Authorized users will be able to find a specific work item based on a search function with multiple criteria (NF.0385). Within the GUS *Reports Module* a report will be able to be run to summarize the current status of workflow items, including a listing by work items and location in workflow, listing by staff of all assigned work items, listing of work items and current status, and listing of work items by type (NF.0386). GUS will also maintain a complete history of a work item from generation to closure (NF.0390).

Geographic Solutions is proposing to modify the GUS *Workflow Component* to apply version control to workflows (NF.0355).

5.3.d.xviii Customer Relationship Management-CRM (NF.0392 – NF.0414)

The Geographic Solutions Team is proposing the [redacted] [redacted] system to provide Customer Relationship Management. [redacted] *CRM* is a browser-based application utilized by customer service centers to track customer contact through voice calls, multimedia communications and IVR activities (NF.0393). Some of the features of [redacted] *CRM* include:

- Date & Time Stamp
- Dialog Tracking numbers (NF.0399)
- Primary and Alternate Contact Information
- Agent Track and Notes (NF.0401,0402)
- Agent Notes Summary
- Contact Channel Identification (Web Chat, email, fax, voice, IVR)
- Open/Close Status
- Follow-up Reminder based on due dates
- Call Type Tracking
- Resolution Tracking
- Multiple Search Criteria
- CRM Reports
- Custom Data
- Capturing Host data

The [redacted] servers are accessed via a Web browser. Utilizing [redacted]'s browser host interface on the [redacted] IVR, call activity into the IVR may be posted into the [redacted] *CRM* database (NF.0392).

[redacted] is browser based, enabling both call center and non-call center personal to access the [redacted] *CRM* server. Call history is maintained with an account number or Social Security Number and Dialog (Ticket) number. Within the call history, a call will have a dialog (description of the purpose of the call) and attached "activities" which record the various contacts and activities occurring within this dialog (NF.0405, NF.0409). The dialog record contains an Open/Close Status indicator to provide the agent/supervisor a method of knowing the status of a dialog (NF.0396). In addition, color codes are used in the listing of dialogs for an Account/Social Security Number, with a different color used to reflect "Open, Closed and Past Due." The status field can be edited to manually reopen or close an activity or dialog (NF.0403 NR.0413).

The account number (Social Security Number) takes the contact information for the account: Name, Address, and Contact Telephone Numbers. "Notes" capability is also provided for both the dialog and activity records along with a note summary section in the dialog record.

As a call is delivered to a call center agent, a [redacted] *CRM* screen will "pop" displaying the [redacted] *CRM* form. Information that was obtained from the caller while in the call queue or IVR (i.e. Social Security Number) and information collected through the host interface to the GUS servers will be populated in the form as it is presented to the agent (NF.0394). If there is call history associated with the identifier, the agent will be able to review all previous dialogs the caller has experienced with the call center (NF.0398). Within each dialog, there can be an unlimited number of activities to describe each contact with the caller.

In addition to supporting call center personnel, the [redacted] *CRM* system may also be accessed by other users desiring to access call record history (they must have a [redacted] *CRM* login and password) from their workstation browsers.

As dialog/activities are opened, follow up activities can be assigned to groups or individuals with due dates and times (NF.0404, NF.0406, NF.0407). When an activity has reached its assigned due date, the system will generate a "follow up" activity into the queue of the agent or group. These calls will then prompt the agent, who can either "close" the activity or change the due date to eliminate the follow up messages in queue (NF.0408).

The [redacted] supervisor software has a real-time monitor of call center queues. These queues can be sorted by agent or split (group) in real-time in the supervisor's monitor screens to reflect workloads of an individual or group (NF.0411). The [redacted] supervisor also has the ability to customize lists for the [redacted] *CRM* form, to allow standardized entry (NF.0400).

The *Custom Data* feature allows for the implementation of custom data groups which can contain additional data sets to be stored with the call record (NF.0397).

There are a number of standard reports which use predefined parameters (i.e. groups, agent list, date ranges) to report call activity of the [redacted] *CRM* system (NF.0412). These reports are available: contact history, open dialogs, closed dialogs, and contact counts (NF.0410).

In addition, there is a search mechanism provided to search by account or dialogs. Within the dialog search the search fields include: status, keyword search on dialog summary, account ID, contact name or partial name, agent assigned or groups. The search for accounts uses these fields: account ID, account name or partial name, account address or partial address, name or telephone number (NF.0414).

5.3.d.xix Call Center/ACD- (NF.0415 – NF.0423 and NF.0425)

[redacted] provides features and functionality other ACD systems can only deliver with multiple server platforms and vendors. [redacted] provides the economy of a unique and complete set of ACD functions while also functioning as a single integrated Computer Telephony Integration (CTI) solution. [redacted] ACD features are outlined below:

Automated Call Distribution (ACD) and Call Routing (NF.0415-NF.0416 and NF.0418-NF.0419)

Calls are automatically routed to the most appropriate call center agent based on the option the caller selected in the main menu, types of accounts they have, or the priority of the person calling based upon caller recognition. [redacted] has been designed to support a number of routing procedures to accommodate varying client call handling needs. These methods may include:

- Programmable Routing (NF.0416) - offers full programming flexibility to route calls based upon factors such as time of day, day of week, call origin (ANI), agent skill set, dialed number (DNIS), caller input, speech recognition, etc.
- Skills Based Call Routing (NF.0415) - a routing option that allows the caller to be serviced by the agent that is most knowledgeable about the caller's needs. Supervisors define and assign skills to contact center agents within their split.
- Dynamic Port Allocation Routing - uses Dialed Number Identification Service (DNIS) to launch an application or route a call based on the number the caller dialed to reach the system. With DNIS, incoming calls are answered on any available port, the number dialed is identified and the call is routed to the proper Call Center Agent or IVR application for further processing. Dynamic Port Allocation eliminates the need to dedicate ports for inbound traffic, providing more efficient usage of available ports.
- Call Priority Routing - allows the [redacted] system to seamlessly route different callers to agents based on types of accounts held, account status, or importance of caller.
- Enhanced Overflow Routing (NF.0418, NF.0419) - allows call center configurations to be implemented which provide overflow/backup routing to other outsourced call centers and or splits

within the system. Overflow routing can be configured to occur based on numerous call center metrics such as time of day, day of week, expected wait time, number of calls in queue, number of agents staffed, skill set, etc. Calls which are sent to overflow destinations are tracked for reporting capabilities.

Call Queuing (NF.0420-FY.0421)

Call Queuing manages the order by which calls will be answered, with the call on hold longest answered first unless priority bumping has been enabled. Call Queuing will support:

- Queue Position and Approximate Wait Time (NF.0420) - Queued callers periodically hear a message, "All Agents are busy… You are number [#] in the queue, your approximate wait time is [mm:ss]. To leave a message, press [1]. To return to the main menu, press [2]". This option may be turned on or off by the contact center administrator.
- Messages and Music - are played to callers while in the queue. As calls associated with different Dialed Number (DNIS) characteristics can be assigned to unique queues, separate call treatment such as playing unique messages and music can be applied.
- IVR While in Queue - enables callers to access optional IVR selections while maintaining their place in the queue. While within an active IVR application, the caller is provided with queue position and wait-time announcements. If the caller reaches the top of the queue and has not transferred out of the IVR application, the next call in the queue is passed to the available agent. Upon exiting the IVR self-service application, the bypassed caller is placed at the top of the queue.
- Voice Message in Queue (NF.0421) - provides the caller an opportunity to leave a voice message in the queue which follows the queue's priority scheme, along with other incoming calls.

Virtual Call Center Integration (NF.0417)

All [redacted] Communication Servers have the ability to be integrated across the network in order to function as a virtual call center environment. This seamless integration enables multiple call centers to be consolidated for call routing, reporting, administration and management purposes. Additionally, partitioning of call centers is also supported. Partitioning enables user access control based on system access permission levels. Some users may be defined to access certain call centers while others may be defined to access all call centers across the network. This is configurable at the administration level. (NF.0417)

Agent Outbound Calls (NF.0422)

Each agent is equipped with a headset and soft phone control panel for initiating outbound calls. Agents interact with [redacted] ACD through the icons displayed on the *Agent Tool Bar*. Each of the agent's call center tasks, such as *Ready State*, *Idle State*, *Answer Call*, *Transfer Call*, *Conference a Call*, *End Call*, and *Adjust Volume* are conveniently represented here, creating an efficient and centralized operation area. The banner displays the agent's current status, call center statistics information, caller ID, and supervisor generated messages.(NF.0422)

Agents are able to pre-record multiple greetings which are played back to the caller when the agent answers the incoming call. The agent may select the greeting for all incoming calls or allow [redacted] to select the appropriate greeting based upon assigned skill. An automated agent greeting ensures that each caller is greeted with consistent voice quality and to allow the agent to mentally adjust to the skill (speaking Spanish, for example) that may be required to address the needs of the caller (NF.0422).

Callback Messaging (NF.0423)

The [redacted] [redacted] application is designed to work with the telecommunication system to provide a caller the ability to leave a message for a contact center agent and disconnect from the call. The application will deliver the callback message to an agent, call the person back and conference the agent onto the call.(NF.0423)

Real Time ACD Monitoring (NF.0425)

The real time status and statistical viewing feature allows a call center supervisor to visually monitor the status of the call center. The real time display shows how many calls are in the queue, call hold-time, queue activity, the status of all agents in the call center, total calls, average hold-time, abandoned calls, agent ready

time, idle time, busy time, individual calls, and other vital call center statistics. This module gives call center management the real time tools necessary to manage events as they happen, instead of relying on historical data to address problems after the fact. (NF.0425)

The *Agent Status Grid* allows the supervisor to click on an agent name in order to monitor the agent's call with a customer. If desired, the supervisor can also observe the agent's desktop display in order to observe the data applications, information entered, and information retrieved by the agent during the call.

Supervisors are able to select which real time parameters they wish to monitor, the type of graphic to be used (gauge, bar chart, pie chart, grid) and where on the panel they wish to dock the selected graphic monitors. Multiple dashboard configurations may be stored for quick recall and graphic monitors may be shared with other supervisors and agents for display on their desktops.

5.3.d.xx Call Center/Workforce Management- (NF.0424)

[redacted] provides supervisors with reports and charts of pertinent call center activity. [redacted] includes more than 60 standard reports which are selected from drop down menus. The reports are provided in data tables and pie charts by agent, by split, by group, by call type, by center, by skill, and support daily, weekly, or monthly intervals.

[redacted] can also be directed to export report data via ODBC tables, ASCII delimited files, text files, Excel files, and Access databases. The external applications and tools may include spreadsheets and commercially available work-force management and scheduling applications. The solution will provide consolidated reporting across multiple communication servers and multiple call centers.

[redacted] reports can be scheduled to run automatically on dates and times selected by the supervisor. Reports may be distributed to designated recipients via electronic mail. (NF.0424)

5.3.d.xxi Call Center/Quality- (NF.0426-NF.0427)

The Scorecard feature enables the evaluation and scoring of agent call handling techniques observed during playback of recorded calls. The design flexibility of this feature includes an intuitive *Scorecard Builder* that provides supervisors with the opportunity to define call center scoring criteria appropriate for each call center split.(NF.0426)

The completed Scorecard is attached to the voice and data recording file, for which it was used, and will be displayed when the recording is recalled. (NF.0427)

5.3.d.xxii Call Center/Call Recording- (NF.0428 – NF.0430)

Call Recordings (NF.0430)

In addition to many other uses, the recording of call audio and screen activity is often used as a quality assurance and training tool to assist management in ensuring that agents are following established procedures, maintaining proper call discipline and are providing the desired caller experience. Every action taken at the agent workstation is recorded, including audio, video display, mouse clicks and keyboard entry of data.

Recording commands may be invoked through the following methods:

- Scheduled Call Recording - Supervisors employ this tool by establishing recording schedules for calls with specific characteristics, such as: identified agent, all agents, specific split, time of day, day of week, type of call, all calls, etc. As the system is designed to support multiple recording schedules, this feature enables a wide range of recording criteria.
- On-Demand Call Recording - Supervisors invoke this procedure while within a *Real Time Monitor*

session to audit a call currently in progress, to assist an Agent, or to monitor an Agent's performance. Since all calls are cached, the entire conversation is captured.

- Agent Initiated Recording - Agents initiate this feature on demand at any time during a call if given the permission to do so. By informing the caller that calls are being monitored, this tool can be used for transaction verification. By asking the caller to verbally agree to the recording and stating their name, etc., the recording may substitute for a written signature of acceptance for the transaction. Since [redacted] call recording provides call caching, the customer call is recorded from beginning to end.

Search for Call Recordings (NF.0428)

Supervisors are able to search for stored recordings for replay or for scoring by selecting from 18 criteria (see screen) (NF.0428)

Recorded Call Archiving (NF.0429)

When the number of stored recordings begins to exceed the disk capacity of the storage server, it will be necessary to remove the recordings to another media or be discarded. The *Recorded Call Archiving* application provides the administrator with the creation of searchable indexes and directories and the transfer of recordings to DVD media. The application will specify labeling information for each DVD so that the appropriate DVD may be located and mounted in the DVD drive for recording retrieval playback. (NF.0429)

5.3.d.xxiii Call Center/Call Reporting- (NF.0431 – NF.0433)

Real Time ACD Monitoring (NF.0431)

The real time status and statistical viewing feature allows a call center supervisor to visually monitor the status of the call center. The real time display shows how many calls are in the queue, call hold-time, queue activity, the status of all agents in the call center, total calls, average hold-time, abandoned calls, agent ready time, idle time, busy time, individual calls, and other vital call center statistics. This module gives call center management the real time tools necessary to manage events as they happen, instead of relying on historical data to address problems after the fact. (NF.0431)

The *Agent Status Grid* allows the supervisor to click on an agent name in order to monitor the agent's call with a customer. If desired, the supervisor can also observe the agent's desktop display in order to observe the data applications, information entered, and information retrieved by the agent during the call.

Supervisors are able to select which real time parameters they wish to monitor, the type of graphic to be used (gauge, bar chart, pie chart, grid) and where on the panel they wish to dock the selected graphic monitors. Multiple dashboard configurations may be stored for quick recall, and graphic monitors may be shared with other supervisors and agents for display on their desktops.

Reports and Charts (NF.0432, NF.0433)

[redacted] provides supervisors with reports and charts of pertinent call center activity. [redacted] includes more than 60 standard reports which are selected from drop down menus. The reports are provided in data tables and pie charts by agent, by split, by group, by call type, by center, by skill, and support daily, weekly, or monthly intervals (NF.0432).

[redacted] can also be directed to export report data via ODBC tables, ASCII delimited files, text files, Excel files, and Access databases. The external applications and tools may include spreadsheets and commercially available work-force management and scheduling applications. The solution will provide consolidated reporting across multiple communication servers and multiple call centers. [redacted] uses Crystal Reports to provide ad hoc reporting writing (NF.0433). [redacted] reports can be scheduled to run automatically on dates and times selected by the supervisor. Reports may be distributed to designated recipients via electronic mail.

5.3.d.xxiv Call Center/CTI- (NF.0434 – NF.0436)

The [redacted] *Screen Pop* feature allows the [redacted] IVR to identify the caller (via caller input, speech, ANI, DNIS, etc.) and interact with the GUS database and CRM applications to "Pop" the caller's record on the agent's PC display as the call is assigned to the agent (NF.0434). This functionality gives an agent the

opportunity to quickly review the caller's record before handling the call. Upon the need to transfer the call, the corresponding customer record screen is included with the transfer (NF.0435). The [redacted] system will integrate the CRM application with CTI delivered information (NF.0436).

5.3.d.xxv Call Center/E-mail- (NF.0437)

Residing on the [redacted] *Communication Server*, *Multimedia Queuing* supports additional customer contact by expanding the channels of communication. The additional channels include: voice messages left while in queue, e-mail messages to customer service, faxes to customer service, and Web chats with customer service agents. The [redacted] *Communications Server* assigns and presents multimedia contacts to agents logged into the [redacted] ACD application and who have been assigned the skills for supporting additional channels of customer contact. The *Communications Server* allows for guaranteed response time across all channels of communication. (NF.0437)

5.3.d.xxvi Call Center/Facsimile- (NF.0438)

Included in the design is a scalable fax server platform to provide both inbound and outbound faxing capabilities.

Inbound faxing can be customized to direct an individual DID (Direct Inward Dialing) number to specific email accounts of any user of the system. Faxes can also be directed to call center agents and splits utilizing unique DID numbers. These faxes will appear in queue along with other multimedia calls. In cases where a DID number is not available, faxes can be deposited in an administrative queue and distributed manually. (NF.0438)

Outbound faxing can either be server based and/or desktop implemented. The desktop user has a number of options to submit the fax, but the most common will be utilizing the custom print driver installed on the client PC. By selecting a fax server as its printer and issuing a "print" command, the document will be submitted to be faxed.

5.3.d.xxvii Call Center/IVR- (NF.0439 – NF.0442)

IVR Capabilities (NF.0439)

The [redacted], Inc. IVR System automates incoming telephone calls for transaction processing, information retrieval, and information dissemination. The voice system answers the incoming call, greets the caller with natural-sounding recorded speech, and prompts the caller for information. After the caller responds on the keypad of a touch-tone telephone, or optionally by speaking a response (NF.0439), the transaction continues interactively under direction of the system software until terminated by the caller or completion of the transaction. The option to transfer to a live Agent or request callback assistance is always available. [redacted] IVR applications enable callers to conduct business activity, obtain information, or request services, without Agent involvement, 24 hours a day, 7 days a week. This is the case for [redacted]'s State Unemployment Compensation IVRs in Michigan, Wisconsin and Maine

Features of the [redacted] IVR include:

- PBX Independence
- Automatic Number Identification (ANI)
- Dialed Number Identification Service (DNIS)
- IVR Reporting
- Administrative Reporting
- Multiple Host Interface
- Automated Attendant

- Name Retrieval (NF.0439)
- Form Filler
- [redacted] Surveys
- Out Calling
- Screen POP
- Speech Recognition, English & Spanish (Text-to-Speech) using *Nuance* software
- FaxBack
- VoicePrint
- Support for VoiceXML 2.1

VoiceScript Editor (NF.0440-NF.0442)

The development of IVR applications is implemented through a Graphical Editor "VoiceScript" based on the *Eclipse Development Tools* (NF.0440). Utilizing this tool, it is easy to record and modify previously recorded messages as well as update speech used in the IVR applications (NF.0441).

Call Queue programs for the [redacted] ACD are built and maintained with a client based tool - *Call Queue Designer*. *Call Queue Designer* is a scripting utility which provides an easy method for recording and updating messages utilized within the call center queues (NF.0441). The system will support VoiceXML for voice application development (NF.0442).

5.3.d.xxviii Call Center/Knowledgebase (NF.0443)

This capability is explained in more detail in the Web CRM appendix. While there is no "knowledgebase application" specific in the CRM product, the power of the database and search criteria provided in the CRM product provides a knowledge retrieval solution for basic information stored in the CRM database. (NF.0443)

5.3.d.xxix Call Center/Virtual Call Center- (NF.0444)

All [redacted] *Communication Servers* have the ability to be integrated across the network in order to function as a virtual call center environment. This seamless integration enables multiple call centers to be consolidated for call routing, reporting, administration and management purposes. Additionally, partitioning of call centers is also supported. Partitioning enables user access control based on system access permission levels. Some users may be defined to access certain call centers while others may be defined to access all call centers across the network; this is configurable at the administration level. (NF.0444)

5.3.e Reliability, Availability, Disaster Recovery

Requirement: ***Tab 5.3.e.*** *Describe the reliability, availability, and disaster recovery capabilities of the proposed solution.*

The GUS solution has a very robust architecture that will ensure reliability and continuous availability of the system. The technology has been proven to be extremely reliable in other larger implementations. This is an advantage of a COTS solution. In addition the full redundancy and clustering configuration that is being proposed for the SSRC hosting facility will effectively handle any overload and balancing issues, ensuring 24/7 reliability and no loss of data.

Geographic Solutions' disaster recovery responsibilities will include preparing disaster recovery deliverables (SOW 7.9.1.1), revising deliverables as a result of the review and approval process (SOW 7.9.1.2), and leading the testing of the disaster recovery plan (SOW 7.9.1.3). Geographic Solutions is proposing to maintain and support a full-service disaster recovery and business continuity facility for the proposed UCCBIS solution. We our proposing to use our secure hosting facility in Palm Harbor, Florida for the following reasons:

1. This provides a secure (SAS 70 certified) high performance hardware and hosting infrastructure that will provide the same level of services and security as that at the SSRC hosting facility in Tallahassee. The system includes full load balancing and redundancy, including full power backup. We currently

host over 30 systems for state and local agencies, providing reliable 24x7 services and backup for those systems. Our hosting facility has full bandwidth redundancy. Diverse T-3 service provides a load-shared connection with two access lines.

2. Our proposal includes a high speed dedicated 1 Gigabit Virtual Private LAN Service. Communication link between the Geographic Solutions secure hosting facility in Palm Harbor, FL and the SSRC to exchange this data in real time. This link can be used to have near real time recovery.
3. A Palm Harbor hosting facility is staffed by professionals that are familiar with the proposed GUS solution and the system and database administration requirements of this technology.

If the Agency would prefer the Disaster Recovery site to reside outside the State of Florida Geographic Solutions will be willing to look at that option as well. We currently have a Disaster Recovery Site that is used for Employ Florida Market Place that is 100 feet underground in Missouri.

We are proposing that disaster recovery capability is ensured utilizing continuous data protection with EMC's RecoverPoint/SE product. The RecoverPoint/SE product is a hardware appliance and software solution that resides at both the disaster recovery facility and at the UCCBIS Production site. RecoverPoint/SE provides point in time Continuous Remote Replication (CRR) without impacting system performance.

The EMC RecoverPoint/SE solution has the advantage that data is continuously replicated allowing full point-in-time data recovery. It will also provide data consistency and write-order fidelity effective replication, data compression and write-order protection over long distances

Geographic Solutions will develop a disaster recovery plan specific to the UCCBIS and related imaging and IVR call center systems. This includes help desk services which provides detailed actions to be taken in the event of disaster (SOW 7.9). This document will include approved backup arrangements (SOW 7.9.1), formal agreement of all parties (SOW 7.9.2), the prioritization of systems and modules (SOW 7.9.3), arrangements for use of a backup facility (SOW 7.9.4); and periodic testing of the backup procedures/facility (SOW 7.9.4).

Within thirty (30) calendar days of the execution a contract Geographic Solutions will submit to the AWI Project Manager an emergency preparedness plan which shall include provisions for pre-disaster records protection, and an alternative recovery plan that will allow the Geographic Solutions Team to continue functioning in compliance with the executed contract in the event of an actual emergency (SOW 7.10).

.3.f COTS Customization Strategy

Requirement: ***Tab 5.3.f.*** *If proposing Commercial Off-the-Shelf (COTS) products within the proposed solution, describe the proposed approach and strategy of handling necessary customizations to the COTS products to support the requirements without compromising the architecture or maintenance of the products. Respondent(s) proposing a solution without COTS product(s) shall respond to this requirement as —Not Applicable.*

Geographic Solutions is proposing that the new UCCBIS be constructed using a set of core proprietary software components created by Geographic Solutions known as the Geographic Solutions Unemployment System (GUS)Component Library. This is a sub-system of the industry leading Virtual OneStop Software Component Library and is a commercial-off-the-shelf (COTS) software solution that is easily implemented in a short timeline. These pre-built components are; are modular and can be easily added to or modified to accommodate the specific requirements of the new Florida UCCBIS.

As outlined in Tab 4, Geographic Solutions' GRID project management methodology was specifically designed to also accounts for the fact that our business process is one that involves customizing an off-the-shelf product rather than building one from scratch. This methodology has been used to successfully customize our COTS products to support the requirements of many state agencies across the country GRID is centered on IEEE software life cycle processes, including stages for project planning, requirements analysis, base system construction, system analysis and design, application development, testing, etc.

During the Requirements Analysis stage all requirements of the system are identified, including specific identification of all customizations to the COTS product. A detailed review is then made of the project requirements, including the customizations, configurations, and business rule decisions that the customer must approve and Geographic Solutions must make to customize the system to the state/customer requirements. The resulting requirements documents include both state/customer review and approval, and internal approval

from key Geographic Solutions staff, which includes the Lead System Architect who will review customizations specifically for concerns such as the integrity of architecture or maintenance of the COTS product.

In the Construction phase, the main focus is on designing the components and features of the proposed system. This is the phase where the bulk of the coding to develop customizations and requirements defined for the system takes place. Several construction iterations will be developed, as necessary, in an effort to divide modules into manageable segments that produce demonstrable prototypes which can be constructed and tested while others are developed, and to ensure that customizations fit seamlessly into the general architecture of the COTS product.

Changes are defined as modifications or alterations to the current computing environment, or modifications that may impact the stability and reliability of the infrastructure. In addition, events are activities that may cause disruption to the infrastructure or impact the system. Changes in software or hardware are thoroughly reviewed and approved by our Technical Oversight Committee before modifications or adjustments are made to the system, using the following approach:

- Perform risk benefits and risk analysis.
- Determine impact to our COTS software and to our customer's solutions.
- Research requirements needed to achieve a successful change.

The approach and process that Geographic Solutions has in place for handling necessary customizations to our COTS allows us to maintain a complex core product that is shared between clients. We have successfully maintained our COTS solutions and updated them while supporting over 30 State customers and their specific needs. We continue to support State customers and their change rerquests without compromising the architecture or maintenance of our products.

5.3.g External Interface Strategy

Requirement: ***Tab 5.3.g.*** *Describe the external interface strategy for the proposed solution.*

Geographic Solutions is particularly qualified to develop and implement all the interfaces required for the proposed system due to our extensive knowledge and experience with creating these kinds of applications. We have a department of specialists dedicated to converting legacy data and creating interfaces between new and legacy systems.

The interfaces designed to support the data conversion and exchange process will be driven by the nature, format, location, and accessibility of the source data. The interfaces for the proposed system will be appropriate for the unique conditions existing at the host location and the interface capabilities of the system requirements.

Geographic Solutions will define, develop, and document all 37 interfaces (IR .001-IR.0037) that are identified in the Requirements Definition Document. Detailed information about these interfaces will include purpose, format, content, frequency, and processing for each interface transaction. Geographic Solutions developers, along with database and network specialists, will work with the appropriate Agency counterparts to develop the interface solution best suited to the unique properties of each data import/export requirement. It should be noted that the interface between ICCBS and EFM (IR.0037) will actually be a direct integration at the database level.

The process begins with a specification that details the information to be shared, and the Web service to be used. This includes detailed identification of commonly shared data fields (required, optional, and conditional), the standards established for minimum required fields and defaults to be used when the legacy system is unable to provide all required data fields, and integrity requirements, reject conditions, and exceptions reports. This specification will create the minimum required information (partial registration) in the proposed system which allows the user to log in and provide the remainder of required data

Geographic Solutions currently works with state staff to develop data transfer processes when the required interfaces are established for the following state systems: UI Wages Interface, WRIS Wages Interface, UI Employer Accounts Interface, UI Benefits Status Interface, UI Internet Claims Interface, State Agency Interfaces, and others.

Geographic Solutions supports two main categories of interface. These are:

1. **Batch Interfaces** where the information is exchanged between two systems via intermediate text files, usually at off peak hours such as overnight.

2. **Web Services Interfaces -** which support interconnection of disparate data handling systems with a common communications solution and provide near real-time exchange of data to maintain currency and synchronization. The systems communicate using XML messages and WCF standards for using Internet application protocol as a transport protocol standard. We are compliant with both W3C and OASIS standards.

Geographic Solutions supports direct interface between systems using an application programming interface (API). An example of a real time interface is the one that Geographic Solutions is implementing for the State of Indiana. This interface uses Web services to directly link the state's Unemployment Insurance Benefit and job match systems. Both systems support a machine readable description of the operations supported by the server written in the Web Services Description Language (WSDL). When a new claimant registers on the UC System, their information is automatically entered in real time into the software via Web services. The interface provides full validation of data before it is entered.

After building the interfaces, Geographic Solutions will work with the Agency to test calls to the service. This creates the data package to be used when passing data to the service. Geographic Solutions will then test and fine tune the service until all issues are resolved.

5.3.h Hardware Requirements

Requirement: ***Tab 5.3.h:*** *Provide a detailed list of hardware required for the proposed UC solution. If the hardware listed is COTS or Proprietary, the item must be identified as such. …*

Geographic Solutions strives to use the latest stable proven hardware and software to increase the usable lifespan of these products. All hardware operating systems and software will be the versions that are currently licensed and supported. Our solution addresses the design, development, testing, training, implementation, interfacing, maintenance, tuning and operation of the proposed solution.

5.3.i Software Requirements

Requirement: ***Tab 5.3.i:*** *Provide a detailed list of the software required for the proposed UC solution. If the software listed is COTS or Proprietary, the item must be identified as such. The response, at a minimum, must include descriptions*

The proposed framework includes a technical architecture that incorporates widely used open source software in many areas, along with leading commercial off the shelf (COTS) software to provide the capabilities to meet the project needs. All of the operating system software is included with the server and workstation hardware.

5.4 5.4 Warranty, Maintenance & Operations

5.4.a Approach for Warranty, Maintenance and Operations Services

Requirement: ***Tab 5.4.a.*** *Describe the proposed approach for providing warranty, maintenance and operations services in support of the system. Refer to Section D, Exhibit 1, 12.0, System Support Services.*

Geographic Solutions will provide a full warranty on our software (both fully-developed and integrated software). We also provide full software maintenance and support as well as onsite operations services. The Geographic Solutions plan for software maintenance and support includes managing communication with tools such as Geographic Solutions' Online Project Communication (OPC) incident tracker, with which issues for warranty or software maintenance can be identified at any point in the life cycle and have their resolutions subsequently tracked. This includes issues that involve patches, upgrades, and distribution of necessary product fixes. The plan for software maintenance and support will provide the necessary software maintenance for the contract period (and for each subsequent year if the maintenance contract is extended).

5.4.a.i Warranty Services

Geographic Solutions currently offers responsive warranty services and software technical support to agencies from over 30 states. Our help desk is manned by staff with unparalleled experience in workforce development and unemployment compensation systems. Support includes telephone, email, Internet, and fax support with a fast response time.

Geographic Solutions will provide help desk and application support according to a mutually agreed upon and documented Service Level Agreement with AWI. Geographic Solutions' plan for software maintenance and support is supported by the OPC system, with which issues for warranty or software maintenance can be identified and tracked at any point in the life cycle.

As soon as an incident is recorded in the OPC as submitted by authorized UCCBIS project staff, Geographic Solutions' project personnel are made aware of the incident through OPC communication. They investigate the issue and assign an appropriate priority based on the customer's needs and the severity of the issue, and the difficulty associated with resolution of the defect.

The priority classifications for Geographic Solutions' projects are:

- *Code Red* – Error on page with no content or missing content
- *Critical* – Business process or data error with no workaround
- *High* – Business Process or data error with workaround
- *Medium* – Change or fix requested for the current version
- *Low* – Change or fix requested for future or current version

All fixes will be documented by release notes, and detailed documentation specific to the requirements set forth in this ITN will be available in the OPC.

5.4.a.ii Maintenance and Change Services

The proposed UCCBIS application is maintained, with code maintenance and updates deployed in a number of ways, in order to be flexible to meet the needs of customers. These include regular updates, special patches, and version upgrades. The regular updates and version upgrades are scheduled and planned with the Agency in advance to prepare for the release; conversely, special patches are immediate releases that are loaded to the system, via coordination and communication with the customer, to fix an immediate need. System enhancements are provided to our clients that have current annual maintenance contracts. Enhancements are part of our continuing improvement process.

As part of the GRID Project Management Method, Geographic Solutions follows strict controls regarding technology change management and infrastructure modifications. The purpose of technology change management is to minimize service disruptions and maintain the system, which incorporates upgrades, software patches, and necessary hardware/software changes to improve system availability.

Change orders and enhancement requests are handled in similar fashion as issue and problem reporting. The proposed tool for communicating priorities, issues, and monitoring problem management will be our Online Project Communications (OPC) system. This OPC mechanism will be used to monitor all services and issues related to the UCCBIS project, including change and incident management processes. The OPC system is specifically designed to provide state and local agencies with real-time access to the project's current status, and to track the progress of incidents and changes. All software releases will be evaluated by the operations and maintenance team.

5.4.a.iii Operations Services

Geographic Solutions will provide the staff and services to ensure the continuous operation of the GUS system hosted at SSRC facility. This will include:

System Administration Services - Web Server Configuration and Maintenance, Maintenance of Microsoft Cluster Services, Security Monitoring, Communications Maintenance, GUS Website Monitoring, Production Support, Interfaces and File Transfer Support.

Database Administration Services - Database System Monitoring, Database Maintenance and Recovery, Database Performance Tuning and Automation, Database Code Deployment, Database Production Support.

5.4.b Warranty Support, Maintenance

Requirement: ***Tab 5.4.b.*** *Describe the warranty support and maintenance that will be provided for the proposed solution. Refer to Section D, Exhibit 1, 12.1, Maintenance and Operations, and Section D, Exhibit 1, 12.2, Warranty Support.*

Note: *As the prime Respondent for ITN# 10-ITN-001-SS, Geographic Solutions will be fully responsible for the maintenance and warranty of the entire system, including equipment or services provided by its sub-contractors.*

Geographic Solutions will provide comprehensive warranty support and maintenance services to the Agency for the proposed system. We will collaborate with the Agency to construct a System Maintenance and Operations Plan, which will govern system operations and maintenance activities during the term of the Contract and for any optional maintenance periods exercised by the Agency.

Activities expected to be performed during the course of the Contract include, but are not limited to, operator support, system administration, database administration, problem troubleshooting and coordination, preventative maintenance and repair, and help desk services (covering two separate tiers of services for the Agency and all other users).

Geographic Solutions assumes the following maintenance and operations responsibilities:

- Prepare operations and maintenance deliverables (SOW 12.1.1.1).
- Revise deliverables as a result of the review and approval process (SOW 12.1.1.2).
- Correct reported deviations to approved designs in the proposed UC solution including all levels of retesting and making all the corresponding documentation changes (SOW 12.1.1.3).
- Lead the prioritization of maintenance updates (SOW 12.1.1.4).
- Develop, test and install maintenance updates (SOW 12.1.1.5).
- Evaluate impact of software upgrades on the proposed UC solution (SOW 12.1.1.6).
- Keep all software licenses current and active (SOW 12.1.1.7).
- Provide hardware preventative maintenance (SOW 12.1.1.8).
- Provide maintenance of COTS software packages (SOW 12.1.1.9).
- Provide help desk support (SOW 12.1.1.10).
- Provide on-site support (if required) (SOW 12.1.1.11).

Geographic Solutions will certify that the proposed system is using the latest release of any COTS products at the start of the System Integration Test period. No changes will be made to the configuration of the system without mutual agreement between Geographic Solutions and the Agency.

A variety of warranty, operations and maintenance deliverables and documentation will be prepared for the Agency's use, including monthly reports. These deliverables and documentation will be revised as necessary as a result of system reviews or modifications, and submitted for approval.

Change control processes will be followed to address any changes in scope.

Geographic Solutions will keep all associated hardware and software licenses current through the maintenance period of the proposed system, and provide hardware preventative maintenance and on-site support as needed.

Because our proposed GUS solution is a COTS product, Geographic Solutions will evaluate the impact of installing warranty or maintenance updates or corrections, solicit feedback and approval from the Agency before incorporating the update, install the update, and test and fix any resulting problems.

Updates to the system can be made through two processes – scheduled updates and "hot fixes." Hot fixes are system updates made to address critical issues that impact the usability of the system. This includes system errors, "hung" or halted screens, or unexpected results within the system that render it unusable for the purpose for which it was designed.

Geographic Solutions staff and Agency staff are both empowered to identify and document needed fixes to the system using the Online Project Communications (OPC) system. The OPC allows system staff and stakeholders to document and track maintenance and warranty issues occurring in the system in real time.

Once Agency staff observes and identifies issues which need attention, Geographic Solutions will communicate with the Agency to evaluate the importance of the issue, decide the best course of action, and prioritize the necessary system update. A workaround will be provided for any critical problems that prevent complete operation of the proposed system.

All software developed specifically for the UCCBIS, and the integration of that software, will be under warranty for a period of at least 365 calendar days after the system achieves full operational status and is accepted by the Agency. Standard warranty also applies to hardware provided for the system. Warranty support includes full test (unit, integration, and regression) and correction of reported issues within the UCCBIS that fall under agreed warranty repair.

Geographic Solutions assumes the following warranty support responsibilities:

- Prepare warranty support deliverables (SOW 12.2.1.1).
- Revise deliverables as a result of the review and approval process (SOW 12.2.1.2).
- Correct reported deviations to approved designs in the proposed UC solution including all levels of retesting and making all the corresponding documentation changes (SOW 12.2.1.3).
- Provide standard warranty available with the commercial product (hardware and COTS software) (SOW 12.2.1.4).
- Coordinate with the Contractor any problems identified in the hardware or COTS software (SOW 12.2.1.5).
- Test the updated solution and install or update the changes on the proposed UC solution (SOW 12.2.1.6).
- Continue to follow the Change Control process as defined for any scope changes (SOW 12.2.1.7).

5.4.c Skill Sets

Requirement: ***Tab 5.4.c.*** *Describe the skill sets, training, and technologies needed for Agency staff to maintain the proposed UC Solution.*

After the duration of the contract term, as part of the transferring of the solution the following basic technical skills/experience are recommended for AWI IT staff who would be involved in their AWI hosting process, to help facilitate and install GUS software:

Staff will be required with skills and training in the following system administration technologies:

Category	Skill Sets, Training, and Technologies

Staff will be required with skills and training in the following database administration technologies:

Category	Skill Sets, Training, and Technologies

5.4.d Transferring Solution to Agency

Requirement: ***Tab 5.4.d.*** *Describe the proposed approach for transferring the solution to the Agency. Refer to Section D, Exhibit 1, 12.3, Operations Transition.*

It is a standard part of Geographic Solutions' project management methodology that at the request of the Agency, Geographic Solutions shall develop an operations and maintenance transition plan that covers all aspects of operational transition. Geographic Solutions will operate the proposed UC solution at the time of deployment, and for the duration of the term of the Contract, and then transition the operation of the proposed UC solution to the Agency or its designated agent. Details of the implementation and deployment, as well as the transition plan and knowledge transfer, are defined in our Implementation Phase. The transfer and responsibilities (including delivery and review of deliverables, completion report, and acceptance/approval) are a standard part of our Post-Implementation Phase.

During the **Implementation Phase**, the new business processes and organization are implemented. The fully-developed system is throrougly tested for user acceptance and then moved into production, and data is converted into the production system. This phase of work is completed when the system is operational, the AWI staff and other Agency staff users are trained on how to use the new UCCBIS, and post-production support planning has been completed. The Transition Plan defines how the transition takes place into production. The plan will include an Agency-approved Knowledge Transfer Plan for transfer to Agency IT staff, as well as training of the Agency business users, check points (for go/no-go decisions), and the commitment to and plan for postproduction support that leads Geographic Solutions and the AWI into the final post-implementation support phase.

During the **Post-Implementation** support phase, the responsibility for operations is transferred to Agency personnel, and the legacy systems are decommissioned.

As part of the Transition Plan, Geographic Solutions will transition the maintenance of the proposed GUS solution as directed by an agreed upon, Agency-approved Knowledge Transfer Plan.

As part of this Knowledge Transfer Plan, Geographic Solutions will complete defined Operations Transition Responsibilities, which include (but are not limited to):

1) Preparing and providing the defined transition deliverables (SOW 12.3.1.1). Within the Geographic Solutions' methodology there are defined deliverable milestones for the acceptance of key components of the new system. These key client transition deliverables, as acceptance points, are outlined in detail under Tab 4.

2) Preparing a transition completion report (SOW 12.3.1.2). Geographic Solutions will ensure that the material to be transitioned is complete and correct at the time of transition. The Geographic Solutions Project Manager will provide an acceptance certificate for each milestone that the authorized Agency representative will be required to sign to indicate acceptance of the deliverable.

Along with the acceptance certificate presented for the final acceptance milestone, Geographic Solutions will prepare a transitions completion report.

3) Revising the deliverables as a result of the review and approval process (SOW 12.3.1.3). An authorized Agency representative reviews and approves all transition deliverables, and signs an acceptance certificate indicating in writing that the system has been accepted, once any required revisions to the deliverables are made and accepted.

5.4.e Handling Versions & Upgrades

Requirement: ***Tab 5.4.e.*** *Describe the proposed approach for handling version upgrades during implementation.*

The content of version upgrades and future releases of GUS will be determined by both strategic planning and customer input. Geographic Solutions will meet with Agency representatives to discuss changing needs, as well as conduct internal planning sessions to determine how the software will be improved to meet the changing needs of clients. Geographic Solutions regularly meets with user groups to discuss changing needs, and subsequently plans the transition of version upgrades and new version releases. The GUS software will continue to grow to maintain the ever-changing needs of AWI and all clients.

Version upgrades to GUS will first be made available on Geographic Solutions' staging server for the client's initial review. Upon approval, the upgrade will be installed. Geographic Solutions' systems analysts will install the upgrade compact disc on the computer equipment, with approval of Agency technical staff, at the Tallahassee site.

Major product enhancements and feature additions will be scheduled in an annual new version release. These version upgrades will be available to all customers based on a best fit for schedule and associated system upgrades/changes to support their needs. In effect, there is no timeframe for technical obsolescence due to support being unavailable for a specific version of the system.

The content of future releases is determined by a combination of the following:

- Enhancements that Geographic Solutions has determined will improve the functionality and usability of the system.
- Changes that are required to meet State and federal reporting and program requirements.
- Changes that are identified as key to AWI and their unique business needs.

As a partner, Geographic Solutions will strive to address the unique requirements facing AWI not only during the initial implementation, but for the life of the project. Geographic Solutions will continue to enhance GUS with each release, to make it the most effective solution for unemployment compensation in Florida. In addition, our expert staff will continually add value by sharing the knowledge and experiences gained from working with similar state agencies, and with any experiences with GUS through other agencies.

All of Geographic Solutions' customers make Change Orders and Enhancement Requests on a continuous basis through our Online Project Communication tool. Customers can also track the progress of their requests and other customer requests through the OPC. As a customer, AWI will be invited to attend our annual user conference to participate in identifying new development objectives for future system releases. The group largely identifies future release functionality during the conference, and throughout the year using our OPC system. Geographic Solutions' user community will also provide AWI with a valuable opportunity to learn best practices from other State agencies. **It should be noted that Geographic Solutions' enhancement and maintenance is based on a "Mutually Benefiting Enhancement Policy." Enhancements that are developed specifically for one customer are usually shared with all customers.**

All GUS releases are documented by both release notes and detailed documentation which will be available to Agency staff prior to any new release. Prior to the release of any new functionality, the Agency will have access to a test website for functional review and unit acceptance testing. AWI staff will have the opportunity to review release notes specific to the new functionality, and share that information with staff prior to the release being promoted to the production environment. Major releases are more significant events that can require more effort in testing and training.

5.5 Value Added Service – Innovative Ideas

Required: *Value added services are services beyond those services previously outlined for additional benefits to AWI. Describe and clearly label any value added services offered to the Agency. Although the agency has provided a statement of need and mandatory requirements to Respondents, these are not intended to limit Respondent's innovations or creativity in preparing a response to accomplish these goals. Innovative ideas,*

new concepts, and partnership arrangements other than those presented in the Invitation to Negotiate, will be considered. For example, these might include unique business features, special services, offered costs or shared savings, discounts or terms and conditions specific to each Respondent.

The proposal from the Geographic Solutions Team includes several innovative ideas. The following are the three most significant that provide additional value added services:

5.5.a An Integrated Solution for Unemployment and Workforce

Geographic Solutions is proposing a UCCBIS system that is completely integrated with Employ Florida Marketplace (EFM). These systems directly access the same database and the new GUS technology includes the functionality for employers, jobseekers, and staff currently provided by Employ Florida. This has significant advantages for the overall efficiency of the Florida workforce system. These include:

- Faster re-employment of UC claimants. For example, GUS can present the claimant with a list of jobs that match their requirements every time they file a new or continuing claim.
- Improved capability for staff in the state's one-stops to work directly with UC claimants. This will lead to faster and better reemployment.
- Improved capability to directly track and verify a claimant's job search.
- A significant reduction in the requirement for staff and claimants to enter information twice when the information is in a shared database. This makes staff more efficient, results in more accurate and consistent data, and leads to higher customer satisfaction.
- An integrated Trade Act system where TRA specialists and authorized local TAA case managers can share information.
- The capability for staff to provide true case management for claimants, reviewing their activities in job search and applying for benefits.
- Providing a more proactive approach to assisting claimants by reviewing their employment, financial, and benefit planning.
- Providing an integrated solution for the state's employers, who will be able to use one portal to review their claims status and history, file appeals, etc., as well as enter job orders and review job seekers' online resumés.

5.5.b A Two Phased Rapid Implementation

The Geographic Solutions Team is proposing to fully deploy the completed system, including IVR, by July 1st, 2012. We would like to combine Phases I and II to be delivered by July 1st, 2012. This will remove the significant challenges that exist in attempting to interface and synchronize the new UCCBIS solution with the legacy system that would still be operating for the call center and IVR.

5.5.c A True Commercial Off-The-Shelf Solution

Building the UCCBIS from GUS components offers significant advantages over building a "ground-up" solution or attempting to adapt another state's solution. System deployment is rapid because the components are pre-built; risks are mitigated because the components have already been developed and tested; and the components are modular and easily added to or modified. The State will also benefit from enhancements to GUS as the system matures and other States request additional functionality.

5.5.d A New Low Risk Model for Unemployment Compensation Systems

Geographic Solutions is proposing to provide an existing product based on proven technology and waiving any payment for this GUS software until it is installed and running.

6 Company Profile and Experience

Serving as the primary contractor for Solicitation # 10-ITN-001-SS (*Unemployment Compensation Claims and Benefits Information System Design, Development, and Implementation*), Geographic Solutions is a privately held S Corporation incorporated in the state of Florida. We have extensive experience designing, developing, and maintaining Web-based systems for the Workforce Development industry, integrating Unemployment Compensation systems, and providing the Reemployment Services platform for UC Claimants.

Our firm has more than 18 years of successful, professional experience creating comprehensive client information management and reporting systems with requirements like those set forth in the ITN. Our successful history in the Workforce Development industry and our current relationship serving the needs of the Agency for Workforce Innovation qualify us to successfully design, develop, and implement the required unemployment compensation claims and benefits information system (UCCBIS).

[redacted], Inc. will serve as a sub-contractor to Geographic Solutions to provide the required call center interactive voice response (IVR) system. [redacted], Inc. is a privately owned corporation established in 1981 to provide financial computing hardware and software information technology solutions to private industry and all areas of Government. As the companies' clients have turned to core processors for computing services, [redacted]'s business focus has evolved to providing customer self service solutions [Interactive Voice Response (IVR)] that could be purchased, installed, and operated by its owners.

[redacted] Corporation will also serve as a sub-contractor for Geographic Solutions to provide an integrated imaging system that allows all areas of the organization to share information quickly and effectively while providing the technical capabilities to identify and remove duplicative information. [redacted] is an emerging leader in the development of Business Automation software. They create Enterprise Content Management and Work Process Automation software that allows their customers to use technology to drive innovation within all segments of their business, allowing them full control over their document-centric processes. This freedom empowers their customers to innovate by changing the way they create, manage, and distribute information within the enterprise.

6.1 Geographic Solutions Team's Company History and Experience

The following are short descriptions of the history and experience of each member of the Geographic Solutions Team:

6.1.a Geographic Solutions' Company History

In June 1998, Virtual OneStop® was introduced – a system specifically designed to fulfill the needs of local workforce development boards and one-stop offices. The system was comprised of modules for universal access for job seekers, employers and labor exchange services. In August 1998 the first Virtual OneStop was purchased by the Jobs and Education Partnership Regional Board (JEP) of Miami-Dade and Monroe Counties, Florida, and the South Florida Employment and Training Consortium.

Since that time, Virtual OneStop has evolved into the only integrated Web-based system in the country that encompasses a comprehensive suite of solutions for fulfilling the requirements of Labor Exchange, Labor Market Information Display, Case Management, One-Stop Services, the Workforce Investment Act (WIA), the Wagner-Peyser Act, and other workforce related programs. Our customers are vast, ranging from heavily populated states and metropolitan areas, to remote, sparsely populated regions.

Geographic Solutions first produced a state system to fulfill the requirements of the WIA and Wagner-Peyser Act in 2000, when we completed Phase II of DC Networks for the District of Columbia Department of Employment Services. DC Networks serves all job seekers in the Metropolitan DC area.

The Virtual OneStop software is consistently maintained and updated to produce the federally mandated WIA and Wagner-Peyser reports, and is adapted to support the revised Common Measures introduced in 2005, as well as WIA Reauthorization.

DC Networks offers a full complement of online services for agency staff, case managers, and career counselors – including common intake, eligibility determination tools, referrals, case management information, placement data, scheduling tools, client tracking, and follow-up utilities. DC Networks replaced the District's ODDS / ENDS mainframe employment service system and legacy JTPA systems. Geographic Solutions has written custom programs to import legacy data including participant information, job orders, referrals, and services from the District's mainframes. The DC Networks system integrates and interfaces multiple agencies, partners and programs including Employment Services, Unemployment Insurance, Welfare to Work, and Vocational Rehabilitation.

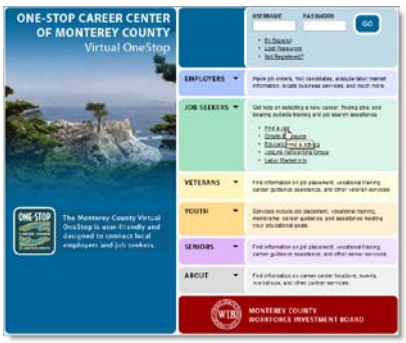
Similar to DC Networks, the Louisiana Works Virtual OneStop (LAVOS) is a comprehensive one-stop operating system, providing services to multiple agencies and partners in all of the state's workforce development boards.

Geographic Solutions and the Louisiana Department of Labor collaborated to deploy LAVOS in April 2001. The company has continually enhanced the system since that time. LAVOS is responsible for providing all Self-Service One-Stop Access, Integrated Case Management, Common Intake and Labor Exchange for the State of Louisiana Department of Labor and all Louisiana local Workforce Investment Boards. The system serves employers, job seekers and individuals seeking benefits in all parishes and workforce boards in the state of Louisiana.

In August of 2001, the Job Service of North Dakota awarded a contract to Geographic Solutions, in conjunction with the Oracle Corporation, to provide a customized One-Stop Delivery System for the state. The project included the design and development of a statewide self-service one-stop and labor exchange system. In February 2003, Geographic Solutions and Oracle fully implemented the software customization of the project and delivered the system to its users.

In June 2002, the State of New Mexico Department of Labor contracted with Geographic Solutions for a comprehensive state system using existing legacy data and incorporating self-service, labor exchange, Wagner-Peyser reporting, WIA case management, financial tracking, and WIA reporting functions. The New Mexico Workforce Connection's Virtual OneStop system provides services for 28 locations throughout the state.

The project's timeline was 90 days for the initial phase and the system was implemented on schedule. Geographic Solutions' project managers and analysts met regularly for Joint Application Design sessions to ensure that requirements were met. The development team wrote data processes to import/export information from mainframe systems in order to populate the system with historical data. By adapting Virtual OneStop to the New Mexico Department of Labor's business requirements, Geographic Solutions deployed a customized workforce development system that continues to fit their needs.



Local workforce regions also rely on Virtual OneStop labor exchange to match job seekers and employers. From coast to coast, regions including Monterey, California; Santa Cruz, California; Cobb County, GA; and Central Alabama are using the system to provide labor exchange services in their diverse economic regions. In total, Virtual OneStop now provides labor exchange services in 18 local regions in the country.

Geographic Solutions contracted with the State of Utah in 2004 to deploy the VOSJobs® comprehensive employment search tool. Development on Utah's VOSJobs system began in May 2004, and the site went live in October of that year. Utah selected VOSJobs to integrate and enhance their state website. Since Utah's system debuted, thousands of jobs from a variety of employment banks and corporations have been spidered off the Web, making them immediately available to job seekers in the state.

In January 2003 Geographic Solutions combined Virtual OneStop and Labor Market Information products to produce the Workforce Development Component Library. Geographic Solutions released Version 7.0 of this library in July 2005. Version 7.0 incorporated a new proprietary job search technology that used "Database Intelligence" techniques to allow the user to rapidly search jobs from a variety of Internet-based job sites based on comprehensive criteria. Using this state-of-the-art mechanism, the user could scan through tens of thousands of jobs in seconds.

The Workforce Development Component Library was selected to provide labor exchange for the State of Florida. The Employ Florida Marketplace system went live on March 1, 2005. Since then, there have been more than 3 million referrals to external jobs made through Employ Florida Marketplace and more than 11 million jobs have been displayed on the system. The Employ Florida Marketplace provides all labor exchange and employment service functions, including the tracking of referrals and services, and performance reporting. The system has averaged more than 300,000 jobs in the state of Florida at any one time until the onset of the recession. At this time there are still over 220,000 jobs listed in the state of Florida.

The system provides capability well beyond a simple keyword search, permitting the user to provide multiple criteria, including occupations, industries, skills, and more. A user can conduct a search for suitable careers based on a direct analysis of the latest Employment and Training Administration (ETA) and Bureau of Labor Statistics (BLS) labor market information, together with a match to the skills posted on job orders and a self-service career analysis.

Other new development included the Individual Employment Plan/Individual Service Strategy and expanded outcome forms. Version 7.0 also included compatibility with federal Common Measures reporting.

Comprehensive development of the skills matching process was a helpful new tool in the system. The application included a system of over 2,500 job-specific skills linked to the latest O*NET data. Geographic Solutions is the first company to take the integrated skills one step further by classifying the skills into user-friendly categories. Individuals may efficiently choose skills from 14 wide-reaching categories, including General, Skilled Trades, Computers and Mathematics, Management, and others. Now, experienced workers, newly separated veterans, and others can identify their transferable skills and use them to explore careers and look for jobs. Individuals may also search by entering "lay titles" without any prior knowledge of skills classification.

For staff, the Create/Modify Job Skill Sets function lets staff members create skill sets to use for individuals who are looking for jobs in the system. Additionally, staff members that work with employers can create or modify skill sets to match an employer's job order, resulting in a candidate search for the appropriate skills.

To effectively manage the system's resumés, an improved Manage Resumé/Candidate Ranking function was created to add ranking for resumé searches. Search results are ranked based on selections of Required, Desired, and N/A (Not Applicable) experience levels and other criteria. Candidate resumés that match or exceed the specified criteria are displayed and ranked accordingly.

The State of Alaska implemented the Virtual OneStop solution in February 2005 to provide online services to job seekers and employers and manage their Wagner-Peyser program. The Alaska Labor Exchange System (ALEXsys) marked the first time the state specifically provided services to remote areas in the state where service centers were not available.

In 2006 Geographic Solutions released Version 8 of the Virtual OneStop system, utilizing the latest .NET programming language to increase system performance and design capabilities. Version 8 included significant development for employer recruitment management. It lets employers rank candidates based on job order requirements, and add notes to applicant's files for future reference. Favorite candidates could be saved to a folder in the Recruitment Plan Profile, allowing employers to sort them by type of job. These tools have proven to be extremely efficient for smaller employers who typically don't have recruitment management database tools. Similarly, Version 8 streamlined the job search options for individuals, with a quick search option to search for jobs based on keyword, occupation, salary, or date of job posting. Individuals could also review and manage their job applications efficiently in a Job Applications section of their individual Employment Plan profile.

With Version 8, changes to the staff section also streamlined the overall workflow process of Wagner-Peyser functionality. At a state's discretion, a Wagner-Peyser application could be automatically generated by the system for newly registered self-directed users, or a Wagner-Peyser Wizard could help staff quickly complete the registration process. A summary screen highlights all activities and programs an individual is participating in. A My Reports option gives staff the ability to save reporting filter options for future reporting needs, and an Ad Hoc Query Analyzer gives States the ability to create custom reports on any data in the system.

In July 2006, the State of Hawaii was the first state to implement Version 8 of the Virtual OneStop system. The state chose the system for its capacity to provide online employer and job seeker services as well as its ad hoc reporting capabilities for local workforce offices. Experiencing low unemployment, the HireNet Hawaii system was designed to advertise jobs locally and abroad, to bring Hawaiians home. After only a short period of time, employers remarked how useful the system was and have been very vocal in their enthusiasm.

Version 8.1 of Virtual OneStop was released in late 2006, with enhanced functionality for staff. The release featured a significantly enhanced version of the Virtual OneStop fund tracking system. The new transaction-based system tracks funds and participant expenditures, and includes interface capability to multiple statewide financial systems. The system debuted with its release for the State of Wyoming in November 2006.

In January 2007, Employ Florida Marketplace was upgraded to Version 8.1 of Virtual OneStop. This upgrade included a large conversion of legacy data, including over 3 million individual and more than 60 million Wagner-Peyser records. This robust system is widely used in Florida, averaging over 120,000 unique visits on busy week days. The third quarter of 2007 also saw the Commonwealth of Virginia adopt Version 8.1 of Virtual OneStop to provide an integrated solution for both Wagner-Peyser and WIA case management and for advanced labor exchange.

Version 9 of Virtual OneStop was put into production in October 2007 for the State of South Carolina. This version contained an enhanced Resumé Builder, address standardization, and use of the O*NET 12 database. With growing industry concern over the security of data in online resumé banks, several

important features were added to Virtual OneStop to keep email addresses private, and control the integrity of employers and jobs being entered in the system.

Version 9 of Virtual OneStop was released in January 2008 in North Dakota, and included enhanced functionality for staff. An advanced Common Intake Wizard combines all programs managed within the system to speed up registration and enrollment into multiple programs simultaneously. North Dakota also adopted the WTP federal program as part of their case management system, as well as an enhanced version of TAA.

The State of Indiana chose Virtual OneStop for a state-of-the-art Job Matching System. The solution included the conversion of all labor exchange data (applicants, employers, job orders, services etc.) from the state's Oracle-based legacy system as well as real-time interfaces with the state's Unemployment Benefit system and Case Management System. The new Indiana Job Matching System went live on June 30, 2008.

The next state to adopt Version 9 of Virtual OneStop was the State of New Hampshire. This system was also a job matching system. The New Hampshire site went live on March 30, 2009.

In the summer of 2009, all client sites were modified to track and report on training and employment services funded by the American Recovery and Reinvestment Act. This time sensitive upgrade was a significant effort which included weekly client conference calls with the national user community to effectively communicate the system modifications and deployment plans.

In December of 2009, the America's Labor Market Analysis (ALMA) system, a national labor market information analysis tool, was deployed, as a subscription service to specific users in Florida and California. ALMA uses transactional data, including advertised jobs data, and traditional surveyed LMI data from the Workforce Information Database (WID). It combines Geographic Solutions' years of historical data into a nationwide database of real-time current and historical labor market information. The latest version of Virtual OneStop, Version 10, was released in spring 2009, beginning with the State of Illinois and the State of Rhode Island. Geographic Solutions was selected by the State of Rhode Island to provide its new labor exchange and automated case management and reporting system.

Version 10 contains many new features and functionalities, including a more versatile Resumé Builder that allows individuals to save time by uploading their existing resumés; additional search features and job information for candidates conducting a job search; more detailed information on potential candidates for employers reviewing the best applicants for their job orders; incorporation of In Demand occupation lists to inform job seekers and employers of occupations that are highly sought in the marketplace; and a more streamlined tabular design that makes tasks and searches user-friendly and fast.

Version 10 greatly expands the use of real-time LMI, which uses transactional data from spidered jobs as an additional source for labor market analysis, and displays both current and historical data to both the job seeker and employer. All of our state and local customers have been upgraded to Version 10 as part of our maintenance agreements

Version 10 of the Employ Florida Marketplace (www.EmployFlorida.com) finished ranked number one out of 559 systems in the United States Department of Labor's "Tools for America's Job Seekers Challenge". Geographic Solutions' National Job Board, *America's Virtual OneStop*®

(www.Americasvos.com), was ranked third.

Recently, Geographic Solutions announced the release of Virtual OneStop/Virtual LMI Version 11.0. Based on customer feedback, and goals established by the Product Development Team, the new system will provide improved overall usability and enhanced system features like multiple employer login, employer contact audit history, significant design changes in the fund tracking module, improved print capability for federal programs (e.g., WIA and TAA), and more. The State of Nebraska system is being developed in the Virtual OneStop Version 11 platform. It awarded Geographic Solutions the contract to furnish, install, configure and support a Workforce Case Management and Reporting System nearly identical in size and scope to the case management and reporting system requested by the State of Indiana.

6.1.b Geographic Solutions Current State Department of Labor Clients – Large Projects.

Geographic Solutions has created and deployed large systems for **11** states (as listed below). All of those states have adopted and continue to use Geographic Solutions as their primary workforce delivery and management mechanism. In addition to the state systems, more than **20** local workforce investment boards have contracted directly with Geographic Solutions. The following table summarizes these systems:

Customer Name	Dates	Current Status
1. District of Columbia Department of Employment Services Project Name: ***DCNetworks***	***Contract Start*** – July, 2000 ***Go Live*** – October, 2000 **Case Management Status** – In Use ***URL:*** *www.dcnetworks.org* 	**Summary:** Case management system has been in continuous use since July 2000. System is under an active annual maintenance and support contract. This contract has been renewed annually for the last 10 years. **Components:** Labor Exchange, Services for Employers, Services for Individuals, Services for Providers, Case Management & Reporting, Individual Fund Tracking, VOScan Scan Card Client Tracking, Labor Market Information Analyzer, VOSJobs, Job Spidering **Programs Managed:** Wagner-Peyser, WIA, LMI, Generic Programs **Interfaces:** Unemployment Benefit Claimants, UI Profiling, UI Wage Data, Job Central, America's Job Exchange, Workforce Information Database **Version:** 10.05 **Workforce Centers**: 1 workforce board, 18 offices **Staff Experience –** Paul Toomey, Pamela Johnson, Jeff Metcalfe, and Sean Read among others from the proposed Florida GUS Project Team were involved in this project **Subcontractors:** None

Customer Name	Dates	Current Status
2. State of Florida - Workforce Florida Project Name: ***Employ Florida Marketplace***	***Contract Start*** – January, 2005 ***Go Live*** – March, 2005 **Case Management Status** – In Use ***URL:*** www.EmployFlorida.com 	**Summary:** Subscription was originally purchased in 2005 as a labor exchange system only with an interface to the legacy case management system (OSMIS). Contract was subsequently amended to replace OSMIS including case management and conversion of all legacy WIA and Wagner Peyser data. Case management system went live January 2007. Case management system has been in continuous use since January 2007. Has been under maintenance and support as part of subscription service since January 2007. A new five-year extension was signed in January 2010. **Components:** Labor Exchange, Services for Employers, Services for Individuals, Services for Providers, Assessments, Case Management & Reporting, Individual Fund Tracking, Labor Market Information Analyzer, VOSJobs Job Spidering **Programs Managed:** Wagner-Peyser, WIA, LMI, Trade, Generic Programs **Interfaces:** Unemployment Benefit Claimants, UI Wage Data, Welfare Transition, Job Central, Workforce Information Database, Customer Satisfaction Survey, TANF **Version:** 10.05 **Areas Served**: 24 workforce boards, two state-wide regions for State Programs, 134 local offices. **Staff Experience –** Paul Toomey, Pamela Johnson, John Marks, Jeff Metcalfe, Julie Goodrich, Alan Correria, Sean Read, and Kim Dodge among others from the proposed Florida GUS Project Team were involved in this project. **Subcontractors:** None
3. Hawaii Department of Labor & Industrial Relations Project Name: ***HireNet Hawaii***	***Contract Start*** – January, 2006 ***Go Live*** – July, 2006 **Case Management Status** – In Use ***URL:*** www.HireNetHawaii.com 	**Summary:** Case management system has been in continuous use since July 2006. Has been under maintenance and support as part of subscription service since January 2007. Subscription has been renewed annually for the last four years and was recently renewed for 2010 -2011. **Components:** Labor Exchange, Services for Employers, Services for Individuals, Assessments, Case Management & Reporting, Advanced Individual Fund Tracking, Labor Market Information Analyzer, Provider Services (formerly Consumer Reporting System), VOSJobs, Job Spidering **Programs Managed:** Wagner-Peyser, Workforce Investment Act, Trade Act, Generic Programs **Interfaces:** Unemployment Benefit Claimants, Unemployment Insurance Wage Data, Job Central **Version:** 10.05 **Workforce Centers**: 4 workforce boards, 6 islands, 68 offices **Staff Experience –** Paul Toomey, Pamela Johnson, John Marks, Jeff Metcalfe, Julie Goodrich, Alan Correira, Sean Read, and Kim Dodge among others from the proposed Florida GUS Project Team were involved in this project. **Subcontractors:** None

Customer Name	Dates	Current Status
4. Louisiana Workforce Commission Project Name: ***Louisiana Virtual OneStop***	***Contract Start*** – September, 2000 ***Go Live*** – January, 2001 **Case Management Status** – In Use ***URL:*** www.voshost.com 	**Summary:** Case management system has been in continuous use since January 2001. System is under an active annual maintenance and support contract. This contract has been renewed annually for the last nine years. **Components:** Labor Exchange, Services for Employers, Services for Individuals, Services for Providers, Assessments, Case Management & Reporting, Individual Fund Tracking, ScanCard Client Tracking, Labor Market Information Analyzer, Consumer Reporting System, WorkKeys, VOSJobs, Job Spidering **Programs Managed:** Labor Market Information, Wagner-Peyser Act, Workforce Investment Act, Trade Act **Interfaces:** Unemployment Benefit Claimants, Unemployment Insurance Wage Data, Job Central, Workforce Information Database **Version:** 10.05 **Workforce Centers**: 18 Workforce Boards, 70 Business and Career Solutions Centers **Staff Experience –** Paul Toomey, Pamela Johnson, Jeff Metcalfe, and Sean Read among others from the proposed Florida GUS Project Team were involved in this project. **Subcontractors:** None
5. North Dakota Department of Employment Services Project Name: ***North Dakota Workforce Connection***	***Contract Start*** – *August 2001* ***Go Live*** – November, 2002 **Case Management Status** – In Use ***URL:*** www.ndworkforceconnection.com 	**Summary**: License was originally purchased as a labor exchange system only with an interface to the legacy case management system (UWORKS). Contract was subsequently amended to replace UWORKS and include case management and conversion of all legacy WIA and Wagner-Peyser. Case management system went live January 2008. Case management system has been in continuous use since January 2008. Has been under active annual maintenance and support since January 2008. This contract has been renewed annually for the last two years. **Components:** Labor Exchange, Services for Employers, Services for Individuals, Case Management & Reporting, Advanced Individual Fund Tracking, Labor Market Information Analyzer, VOSJobs job spidering **Programs Managed:** Labor Market Information, Wagner-Peyser, WIA, Trade Act, Welfare Transition, Generic Programs **Interfaces:** Unemployment Insurance, UI Wage Data, Payroll, State Accounting System, TANF, New Hires, Job Central, Workforce Information Database **Version:** 10.05 **Workforce Centers**: 5 workforce boards, 19 Workforce Development Centers/Offices **Staff Experience –** Paul Toomey, Pamela Johnson, Jeff Metcalfe, and Sean Read among others from the proposed Florida GUS Project Team were involved in this project. **Subcontractors:** None

Customer Name	Dates	Current Status
6. Nebraska Department of Labor Project Name: ***Nebraska WCMRS***	***Contract Start*** – April, 2010 ***Go Live*** – May, 2010 **Case Management Status** – Go Live October 20010 ***URL:*** www.NEworks.nebraska.gov  	**Summary**: The Nebraska Department of Labor initiated a multi-phase contract for Virtual OneStop in March, 2010. Phase I provides a labor market information for and went live on schedule in May, 2010. Phase II which will replace the legacy case management system and AJLA Job matching system, is scheduled to go live October 2010. **Components:** Labor Exchange, Services for Employers, Services for Individuals, Services for Providers, Assessments, Case Management & Reporting, Labor Market Information Analyzer, VOSJobs Job Spidering **Programs Managed:** Labor Market Information, Wagner-Peyser, Workforce Investment Act, Trade Act **Interfaces:** Unemployment Benefit Claimants, UI Wage Data, WID **Workforce Centers:** 5 workforce boards and 17 one-stops **Staff Experience –** Paul Toomey, Lisa Reitz, Pamela Johnson, Robert Black, Tim Himes, Del Robinson, John Marks, Boris Mzhen, David Sharp, Jeff Metcalfe, Julie Goodrich, Alan Correira, Sean Read, Kim Dodge, Carey Hagen, Mike Terry, Glenn Hamilton, Bill Herrmann, Dan Fitzgerald, Julie Goodrich, Bonnie Dassing, Lois Jacobs, Hazel Jones, Amanda Lacey, Matt Stertz, Trung Nguyen, Tonya Svoboda, Daniel Vargas, Stevan Charles, Mike Aul, John Maddux, Ray Horner, Robert Conzatti, Ryan Osterman, Sharon Richards, Wes Springob, Dave Scott, Bruce Hunter, Alex Frades, Ben Ocampo, Troy Wright, David Colon, Arminda Colon, Nate Plecha, Marc Aniol, Kevin Billington, Craig Hogan, Laura Bhandari, Sandy Skidgell, Irina Sokolovski, Christine Boutzoukas, Rick Silva, He Xingming, Rebecca Harder, Chris Michalopoulos, Antonio Trentacoste, Mary Pomponio, Sandy Johnson, Alex Boronenko, Jarrett Levine, Bharathi Mallidi, Ann Faulkner, Pamela Paula, Patrick Maddox, Deepak Kumar, Tim Long, Jay Mallikarachchi, Millie, Alvalle, Gael Hudrisier, Sedrick Nathan, Serg Ivanov, Julio Chiong, and Sue Wallace among others from the proposed Florida GUS Project Team were involved in this project. **Subcontractors:** None
7. New Mexico Department of Labor Project Name: ***New Mexico Workforce Connection***	***Contract Start*** – June, 2002 ***Go Live*** – November, 2002 **Case Management Status** – In Use ***URL:*** www.jobs.state.nm.us  	**Summary:** Case management system has been in continuous use since November 2002. System is under an active annual maintenance and support contract. This contract has been renewed annually for the last seven years. **Components:** Labor Exchange, Services for Employers, Services for Individuals, Services for Providers, Case Management & Reporting, Individual Fund Tracking, Consumer Reports System, VOScan, Labor Market Information Analyzer, WorkKeys, VOSJobs **Programs Managed:** Labor Market Information, Wagner-Peyser, Workforce Investment Act, Trade Act **Interfaces:** Unemployment Benefit Claimants, UI Wage Data, WID **Version:** 10.05 **Workforce Centers**: 4 workforce boards, 65 Workforce Development Centers/Offices **Staff Experience –** Paul Toomey, Pamela Johnson, Jeff Metcalfe, and Sean Read, Buddy Edwards, Mark Aniol, Laura Bhandari, Kevin Billington among others from the proposed Florida GUS Project Team were involved in this project. **Subcontractors:** None

Customer Name	Dates	Current Status
8. Rhode Island Department of Labor & Training Project Name: ***EmployRI***	***Contract Start*** – August, 2008 ***Go Live*** – May, 2009 **Case Management Status** – In Use ***URL:*** www.employri.com 	**Summary:** Case management system has been in continuous use since August 2008. Has been under maintenance and support as part of subscription service since August 2008. Contract was for an initial three year commitment. **Components:** Labor Exchange, Services for Employers, Services for Individuals, Services for Providers, Case Management & Reporting, Advanced Individual Fund Tracking, Consumer Reports, VOScan, Labor Market Information Analyzer, VOSJobs **Programs Managed:** Labor Market Information, Wagner-Peyser, Workforce Investment Act, Trade Act **Interfaces:** Unemployment Insurance claimants, Unemployment Insurance Wage Data, Reemployment (REA), TRA, America's Job Exchange, Job Central, Customer Satisfaction, Workforce Information Database **Workforce Centers**: 2 workforce boards, 5 offices **Staff Experience –** Paul Toomey, Lisa Reitz, Pamela Johnson, Robert Black, Tim Himes, Del Robinson, John Marks, Boris Mzhen, David Sharp, Jeff Metcalfe, Julie Goodrich, Alan Correria, Sean Read, Kim Dodge, Carey Hagen, Mike Terry, Glenn Hamilton, Bill Herman, Dan Fitzgerald, Julie Goodrich, Bonnie Dassing, Lois Jacobs, Hazel Jones, Amanda Lacey, Matt Stertz, Trung Nguyen, Tonya Svoboda, Daniel Vargas, Stevan Charles, Mike Aul, John Maddux, Ray Horner, Robert Conzatti, Ryan Osterman, Sharon Richards, Wes Springob, Dave Scott, Bruce Hunter, Alex Frades, Ben Ocampo, Troy Wright, David Colon, Arminda Colon, Nate Plecha, Mark Aniol, Kevin Billington, Craig Hogan, Laura Bhandari, Sandy Skidgell, Irina Sokolovski, Christine Boutzoukas, Rick Silva, He Xingming, Rebecca Harder, Chris Michalopoulos, Antonio Trentacoste, Mary Pomponio, Sandy Johnson, Alex Boronenko, Jarrett Levine, Bharathi Mallidi, Ann Faulkner, Pamela Paula, Patrick Maddox, Deepak Kumar, Tim Long, Jay Mallikarachchi, Millie, Alvalle, Gael Hudrisier, Sedrick Nathan, Serg Ivanov, Julio Chiong, and Sue Wallace among others from the proposed Florida GUS Project Team were involved in this project. **Subcontractors:** None

Customer Name	Dates	Current Status
9. South Carolina Department of Employment and Workforce Project Name: ***South Carolina Virtual OneStop***	***Contract Start*** – December, 2001 ***Go Live*** – October, 2002 **Case Management Status** – In Use ***URL:*** http://www.sconestop.com/ 	**Summary:** Case management system has been in continuous use since October 2002. System is under an active annual maintenance and support contract. This contract has been renewed annually for the last seven years. **Components:** Labor Exchange, Services for Employers, Services for Individuals, Case Management & Reporting, Advanced Individual Fund Tracking, Labor Market Information Analyzer, VOSJobs Job Spidering **Programs Managed:** Labor Market Information, Wagner-Peyser, Workforce Investment Act, Trade Act, Welfare Transition, Generic Programs **Interfaces:** Unemployment Insurance, Unemployment Insurance Wage Data, Payroll, State Accounting System, TANF, New Hires, Job Central, Workforce Information Database **Version:** 10.05 **Workforce Centers**: 12 local workforce boards, 136 Offices **Note:** The South Carolina Department of Employment and Workforce has recently been formed to replace the South Carolina Employment Security Commission. This agency has selected Virtual OneStop to replace AJLA for Wagner Peyser services and create an integrated workforce development system. **Staff Experience –** Paul Toomey, Pamela Johnson, Jeff Metcalfe, and Sean Read among others from the proposed Florida GUS Project Team were involved in this project. **Subcontractors:** None
10. Virginia Employment Commission & Virginia Community College System Project Name: ***Virginia Workforce Connection***	***Contract Start*** – October, 2006 ***Go Live*** – November, 2007 **Case Management Status** – In Use ***Contract Finish -*** ongoing ***URL:*** www.VAWorkConnect.com 	**Summary:** Case management system has been in continuous use since November 2007. System is under an active annual maintenance and support contract. This contract has been renewed annually for the last two years. **Components:** Labor Exchange, Services for Employers, Services for Individuals, Services for Providers, Case Management & Reporting, Advanced Individual Fund Tracking, Provider Services (formerly Consumer Reports), VOScan, Labor Market Information Analyzer, VOSJobs, Job Spidering **Programs Managed:** Wagner-Peyser, Workforce Investment Act, Trade Act **Interfaces:** Unemployment Insurance Benefits (pending), Unemployment Insurance Wage Data, Job Central, Customer Satisfaction, Agriculture **Version:** 10.05 **Workforce Centers**: 16 workforce boards, 165 offices **Staff Experience –** Paul Toomey, Pamela Johnson, John Marks, Jeff Metcalfe, Julie Goodrich, Alan Correira, Sean Read, and Kim Dodge: among others from the proposed Florida GUS Project Team were involved in this project. **Subcontractors:** None

Customer Name	Dates	Current Status
11. Wyoming Department of Workforce Services Project Name: ***Wyoming at Work***	***Contract Start*** – September, 2005 ***Go Live*** – November, 2006 **Case Management Status** – In Use ***URL:*** www.wyomingatwork.com 	**Summary:** Case management system has been in continuous use since November 2006. System is under an active annual maintenance and support contract. This contract has been renewed annually for the last three years. **Components:** Labor Exchange, Services for Employers, Services for Individuals, Case Management & Reporting, Advanced Individual Fund Tracking, VOSJobs Job Spidering **Programs Managed:** Wagner-Peyser, Workforce Investment Act, Trade Act **Interfaces:** Unemployment Insurance Wage Data, Job Central, Accounting System **Version:** 10.05 **Workforce Centers**:1 workforce board, 19 Workforce Centers **Staff Experience –** Paul Toomey, Pamela Johnson, John Marks, Jeff Metcalfe, Julie Goodrich, Alan Correira, Sean Read, and Kim Dodge among others from the proposed Florida GUS Project Team were involved in this project. **Subcontractors:** None

6.1.c Geographic Solutions' Experience with Unemployment Compensation and Benefit Systems

Geographic Solutions has extensive experience in integrating our Virtual OneStop Components with existing state unemployment compensation systems. Our proven record for customers who required integration with their existing systems was often accomplished through successfully integrating legacy data with Virtual OneStop applications by creating Web Service interfaces, using the Web Services Description Language (WSDL). Our data specialists have expertise in creating interfaces that use WDSL to define services and provide XML data format for transferring data to synchronize databases.

Sample Unemployment Insurance WSDL Interface

Geographic Solutions has worked with customer staff to develop data transfer processes and interfaces for many state and local systems, such as: Unemployment Insurance and Benefit Systems, Welfare to Work Systems, Case Management Systems, Finance and Accounting Systems, and other required system interfaces.

Our experience includes writing custom programs to import data including participant information, vacancies, referrals, and other labor market services, which resulted in a successful interface with legacy data and partner agency data systems. The following are three examples where we have worked across government agencies to successfully develop a service that required integration of existing systems.

The following table summarizes the Unemployment Compensation interfaces we have developed for our clients:

Client	Batch	Web Services	Web Services Planned

Client	Batch	Web Services	Web Services Planned

As illustrated above, Geographic Solutions has extensive experience working with Unemployment Compensation systems. Additional detail on selected unemployment compensation integration projects follows.

6.1.c.i Florida Agency for Workforce Innovation

As a component of Phase III of the Employ Florida Marketplace implementation, Geographic Solutions created multiple interfaces to integrate Employ Florida with legacy systems in multiple agencies. The table below shows the most significant of these systems:

System	Interface Type	Data Exchange

The interface that we developed between the unemployment insurance (UI) system and EFM is critical. It integrates:

- **New UI Claims:** A nightly process to identify new UI claims, and automatically register them in the job-seeking system, to meet federal goals.
- **Daily Claims Update:** A daily process to identify new payment claims (first check issued) update the claimant status of individuals, and automatically e-mail status updates to designated staff.
- **Weekly Claims Update:** A process to recheck all valid new payment claims as a summary of the week's daily claims. This verifies the claimant data in Virtual OneStop and makes required updates for any claims changes.

The figure at right displays the UI claimant process flow:

As is illustrated above this interface generates an email that is sent to individuals when they sign up for unemployment benefits. The email immediately provides a list of vacancies in their local area that match their experience. This approach can expedite re-employment and lower the average amount of time individuals claim unemployment, resulting in a significant savings to the State.

6.1.c.ii Indiana Department of Workforce Development

Geographic Solutions developed a job matching system called Indiana Career Connect, which included the transfer of all labor exchange data (applicants, employers, vacancies, services, etc.) from the State's Oracle-based legacy system. Geographic Solutions developed several Web service-based real-time interfaces to integrate the new system directly into the department's IT infrastructure. This included the Unemployment Insurance Benefit system and its internal labor market case management

system. This involved working with subcontractors and entities in the supply chain who were handling training, data-conversion, and interfacing requirements. .

The table below summarizes the systems integrated as part of our Indiana Career Connect Labor Market system:

System	Interface Type	Data Exchange

The main interface for Indiana Career Connect, the case management system, and the unemployment system was enabled through an Enterprise Service Bus (ESB), so that they could all share common data using Web-enabled services and technologies (primarily HTTP, XML, and SOAP or WSDL services) as shown in the figure below:

6.1.c.iii New Mexico Department of Workforce Solutions

Our business analyst team, along with our project team and in conjunction with our development and integration teams designed and implemented a unique interface between their UI benefits system, and Virtual OneStop. UI claimant accounts are automatically created in their employment service in the New Mexico Workforce Connection system upon registration. The process requires that claimants complete an online orientation within the Virtual OneStop Workforce Connection system on employment related services. Successful completion of the orientation is tracked for program compliance. Overall interfaces developed for New Mexico are listed in the table below:

System	Interface Type	Data Exchange

6.1.d [redacted] Corporate History and Experience on Similar Projects

[redacted] is a privately-owned corporation established in 1981 to provide financial computing hardware and software information technology solutions to both industry and all areas of Government. As our valued clients turn to core processors for computing services, [redacted]'s business focus has evolved by providing customer self service solutions, such as Interactive Voice Response (IVR), that could be purchased, installed, and operated by its owners.

[redacted]'s initial IVR was based on the AT&T / Lucent Conversant IVR server platform and [redacted] wrote the IVR applications and host interfaces that enabled it to provide customer self service solutions to financial institutions, utilities, and Government agencies. By the late 1990's, [redacted] added

Automated Call Distribution (ACD) and Computer Telephony Integration (CTI) solutions to the IVR Server Platform.

Following the launch and industry acceptance of Microsoft's Windows 2000 Server OS and the availability of DialogicTelephony modules which support industry standard telephony interfaces (T1/E1/ Pri-ISDN, Digital extensions, Analog extensions, and now SIP VoIP tie trunks and extensions), [redacted] wrote its own IVR engine application and added an IBM Solid Database, Nuance Text to Speech and Speech Recognition, and Veritas (Symantec) backup executive software to round out [redacted]'s own IVR with integrated ACD and CTI solutions. [redacted]'s server platform of choice was then and continues to be the HP Proliant ML 370 server. Today, Windows 2003 is utilized while Windows 2008 is being tested for compatibility with our library of software applications and support documentation by [redacted] Customer Service.

[redacted]'s base of customers numbers more than 1,000 accounts and the systems support from 4 to 288 IVR ports and from 4 to 300 ACD seats. Being privately owned, [redacted] does not provide financial information. [redacted] is self-financed and debt free and generates multiple millions of dollars in revenue each year. [redacted] is pleased to have the financial and on-going support confidence of business entities such as Atlanta Gas (2.2 million customers), Tech Data (3,000 calls per day), Metropolitan Life, JP Morgan Chase, State Agencies (Kansas, Missouri, Nebraska, Wisconsin, and Michigan), Lab Corp (2 million faxes per month), as well as Government, banks and utilities throughout North America. More than half of our 40+ employees are focused on software engineering and customer support and are located in [redacted] facilities in Waukesha, WI, and Oldsmar, FL. IVR, ACD, and CTI solutions and customer support for the hardware and software utilized in these solutions are [redacted]'s only business focus.

Since [redacted] has written all of the core software utilized in its IVR, ACD, and CTI solutions, we have built a library of off-the-shelf applications, host interfaces, and telephony interfaces and readily accept the responsibility of developing custom applications for our growing base of customers.

Although the [redacted] IVR, ACD, and CTI solutions may be used independently of one another and with any telephony technology, they are best utilized when integrated to operate on a single server platform like the HP Proliant ML 370 G6. The ML 370 is equipped with a Quad Xeon processor and a redundant processor, load sharing hot swappable power supplies, dual 300 Gbyte hard drives in a RAID 1 configuration, and two T1 interfaces to the CS 1000 equipped with two line side T1 ports. The IVR, ACD, and CTI systems share telephony connectivity, host interface connections, and are integrated to provide the ultimate in virtual hold, multimedia contact queuing (voice messages left while in queue, emails to customer service, and Web chats with customer service), outbound dial notification, IVR call tracking and logging, call monitoring and recording with display screens for CSR interaction tracking, real time monitor with supervisor defined dashboard graphics, and comprehensive historical statistics reports. CSRs and supervisors may be local, in a remote office or branch, or working from home using a broadband VPN connection.

The following features can all be incorporated into a single Windows server:

- ✓ Multi-Host Capabilities
- ✓ Automated Call Distribution (ACD)
- ✓ Skills Based Routing
- ✓ Predictive Dialing
- ✓ DNA Screen Pop
- ✓ Personal Banker Routing
- ✓ Merchant Check Verification
- ✓ CRM
- ✓ Call Monitoring and Recording
- ✓ Speech Recognition
- ✓ Call Queuing
- ✓ Home Agent
- ✓ Loan Payment Calculation
- ✓ Multi-Media Queue
- ✓ Outbound Notification
- ✓ Multiple PIN numbers

In conclusion, [redacted], Inc. uses its technical experts to offer maximum value to its customers by

delivering a wide range of efficiency tools to assist the agent, making for a satisfactory experience for the client while lowering the overall cost of ownership.

6.1.e [redacted] Corporate History and Experience on Similar Projects

[redacted] is an emerging leader in the development of Business Automation software. Our company was launched in the year [redacted] by founder and CEO, [redacted] [redacted]. We are entirely self-funded and profitable. Our headquarters and primary operations are based in Clearwater, Florida.

The [redacted] growing customer base currently consists of over 200 clients in both national and international markets representing a wide range of vertical industries and applications.

Our product line consists of over 11 products that have been organically designed and developed with principles of ease of use, seamless integration, and accelerated deployment in mind.

[redacted] has a proven track record of saving companies millions of dollars through the use of our technology and a focus on Business Automation. To us, Business Automation means – The complete Elimination of Tasks, resulting in reduced requirements for FTEs and dramatic increases in profitability and business throughout… We apply our technology to the various processes at work within your organization, independent of business application, database, or data. We can take **any process** and automate it.

[redacted] provides a studio-like technology that allows the subject matter experts in your organization to design and develop applications that establish repeatable processes and enforce business policies without the need to program. [redacted]' uniqueness stems from our focus on the completion of a task, as opposed to a focus on who does the work and their associated job description. These applications can be rapidly deployed and often have an immediate and tangible effect on business productivity.

[redacted] software is designed to empower the end-user. In addition to strengths in process automation, we offer complete systems integration without the need for development or programming expertise. Part of this effort involves the linkage and correlation of unstructured data contained in various documents, such as MS Word and Excel, with existing data stored in company databases and applications, such as SAP, Oracle, and PeopleSoft. Our technology will work seamlessly with these and many other pre-existing applications.

This capability enables [redacted] to rapidly deploy our technology and drive substantial improvements in:

- Employee productivity
- Business and transaction throughput
- Customer satisfaction
- Process efficiency
- Quality and compliance

On average [redacted] customers realize a complete ROI within 6 to 9 months of implementation, and our initial implementation time frames are generally between 30 to 90 days. What's more, customer satisfaction ratings are in the high 90th percentile.

Where [redacted] starts…

In general, our initial engagements with our customers follow our clearly defined process, which is a best-practice for success in the adoption and use of our technology. The process is as follows:

- Detailed Needs Assessment
- Business Automation Planning, Design and Return on Investment Presentation
- Client based acceptance agreement
- Phased implementation process
- Ongoing process improvement and enterprise adoption
- Continued Services, Support, Education and Product Enrichment

6.2 Company Profiles

6.2.a Geographic Solutions, Part A

1: Full Legal Name	Geographic Solutions, Inc.
2: FEIN	[redacted]
3: Proof of legal entity and authorization to do business with the State of Florida	Please see *Attachment K – Certificate of Good Standing*. Geographic Solutions' document # connected to this certification is P94000001968.
4: Country and State of Incorporation:	United States, Florida
Date of Incorporation:	January 1994 (Date first organized, December 1993
5: Principal Place of Business (Corporate Headquarters)	Geographic Solutions, Inc. 1001 Omaha Circle Palm Harbor, Florida 34683
6: Description of the Respondent's organization	Geographic Solutions, is a privately held Florida corporation, established in 1992 and incorporated in January 1994. Our Corporate and Technical Offices are located in Palm Harbor, Florida — just west of Tampa. We also have a western regional office with technical facilities in Salinas, California. Geographic Solutions employs more than 130 staff members.
7: Principal type of business and history and what uniquely qualifies us for this type of work	Geographic Solutions' sole business focus is Workforce Development, Labor Market Information systems, and UC Claims/Benefits systems. All of our clients are state or local government workforce development agencies throughout the United States. We have more than 16 years of successful, professional experience designing, creating, implementing, and supporting comprehensive, integrated workforce systems with requirements similar to those set forth in this ITN.
8: Bankruptcy	Geographic Solutions has never filed for bankruptcy protection nor is it currently in the process of filing or planning to file for bankruptcy protection, financial restructuring or refinancing.
9: Conflicts of Interest	Geographic Solutions has reviewed "Section 6 of the PUR 1001 (Section C)" and confirms there are no potential or actual conflicts of interest that might arise for Geographic Solutions as a result of any award of this contract.
10: Conflicts of Interest, Reservations	Not applicable. There are not Conflicts of Interest or Reservations, or others to be reported relative to the PUR 1001 (Section C of the ITN)"
Additional Company Info:	
Contact Name and Telephone Number	Paul Toomey, Company President 727-786-7955, ext. 208
Fax Number	727-786-5871
E-Mail Address	ptoomey@geosolinc.com
Type of Ownership	Privately held, S Corporation

Company Size	130+ Employees in company (resources committed to this project are described under Project Team Organization in Tab 7.)

The following figure displays Geographic Solutions' company organizational chart:

6.2.b [redacted], Inc

1: Full Legal Name	[redacted].
2: FEIN	[redacted]
3: Proof of legal entity and authorization to do business with the State of Florida	[redacted] has a *Certificate of Good Standing* in Florida. [redacted] *document # connected to this certification is* [redacted]
4: Country and State of Incorporation:	United States, [redacted]
Date of Incorporation:	September 24th, 1981
5: Principal Place of Business (Corporate Headquarters)	[redacted]
6: Description of the Respondent's organization	[redacted]**, Inc.** is a privately held corporation that provides in-house solutions to help companies better serve their clients. [redacted], Inc. does not outsource, but rather provides tools for your employees to better build the relationship with your clients. A few of the tools that we provide are Adjunct Automatic Call Distribution (ACD), Screen Pop, Quality Assurance Recording, Multimedia Contact Center, as well as Interactive Voice Response (IVR).
7: Principal type of business and history and what uniquely qualifies us for this type of work	Since 1981, [redacted], Inc. has assisted over 1000 federal, state and local government agencies, public utilities, financial institutions and other business clients nationwide in maximizing their Call Center and Interactive Voice Response (IVR) productivity. [redacted], Inc. has prospered and grown because of our reputation for "Doing what we said we would do". With our experience in integration and our extensive background in the markets we serve, we have the expertise to understand all aspects of the service solutions you are seeking. The [redacted] software library includes applications developed and refined for a wide range of business entities. Predominant business types include banking/financial, public and private utilities plus local, state and federal government agencies. A sampling of our 1000 + client base would show: JP Morgan Chase, CitiGroup, Homestreet Bank, Guaranty Bank, Gate City Bank, AT&T, GE Medical, Fiserv Financial, NCR Corp., JC Penney, Fox News, New York Life Ins., The Equitable Life Assurance Co., Las Vegas Water District, Atlanta Gas and Light Resources, San Francisco Convention & Visitors Bureau, United States Department of Justice, the States of

	Wisconsin, Maine, South Carolina, Missouri, Florida, Kansas, Michigan, Illinois, and Nebraska. The [redacted] ACD solution has been designed to accommodate a one agent seat operation on low end PBX systems, or 2000 agent seat operations with PBX vendors such as Avaya, Nortel, Aspect, Mitel, Siemens, Cisco, Sphere, and Tadiran to name a few.
8: Bankruptcy	No
9: Conflicts of Interest	None
10: Conflicts of Interest, Reservations	Not applicable. There are no Conflicts of Interest or Reservations, or other to be reported relative to *the PUR 1001 (Section C of the ITN)"*
Additional Company Info:	
Contact Name and Telephone Number	[redacted] [redacted]
Fax Number	[redacted]
E-Mail Address	[redacted]
Ownership	Privately held "C" Corporation
Company Size	42

The following figure displays [redacted]'s company organizational chart:

6.2.c [redacted] Corporation

1: Full Legal Name	[redacted] Corporation
2: FEIN	[redacted]
3: Proof of legal entity and authorization to do business with the State of Florida	[redacted] has a *Certificate of Good Standing* in Florida. [redacted]*'s document # connected to this certification is* [redacted]
4: Country and State of Incorporation:	Florida
Date of Incorporation:	6/14/2000
5: Principal Place of Business (Corporate Headquarters)	[redacted]Datix Corporation 15201 Roosevelt Blvd. Suite 104 Clearwater, FL 33760
6: Description of the Respondent's organization	[redacted] Corporation was organized and filed its Articles of Incorporation with the State of Florida on June 14, 2000. The Corporation's original name was [redacted], which was changed to [redacted] Corporation on February 25, 2003. The Corporation has been operating continuously since its formation in June 2000.

7: Principal type of business and history and what uniquely qualifies us for this type of work	[redacted] Corporation has been providing document management and business process automation software since its founding in June 2000. We have sold and implemented our software solutions to companies such as SuperShuttle, City of Tulsa, Forsyth County Sheriff's Office and Polk Community College, as well as hundreds of others. We have provided document management and business process automation software to many different industries, including (but not limited to) medical, financial, educational and governmental. The types of services that we offer normally take from one week to one year for completion depending upon the scope and size of the project. As technology advances rapidly, we are continuously providing improvements to our products. The aforementioned references provided will be happy to provide evidence of our satisfactory performance. Should additional references be requested, we will gladly provide them.
8: Bankruptcy	N/A
9: Conflicts of Interest	None
10: Conflicts of Interest, Reservations	Not applicable. There are not Conflicts of Interest or Reservations, or other to be reported relative to *the PUR 1001 (Section C of the ITN)"*
Additional Company Info:	
Contact Name and Telephone Number	[redacted]
Fax Number	[redacted]
E-Mail Address	[redacted]
Ownership	[redacted] CEO
Company Size	26 Employees

The following figure displays [redacted] Corporation's organizational chart:

6.2.d Geographic Solutions, Part B

As the prime Respondent, Geographic Solutions acknowledges the following:	
1: Sub-contractor Overview	[redacted] Shall provide the required call center interactive voice response (IVR) system.
	[redacted]Datix Corporation 15201 Roosevelt Boulevard, Suite 104 Clearwater, FL 33760

As the prime Respondent, Geographic Solutions acknowledges the following:	
	Shall provide an integrated imaging system that allows all areas of the organization to share information quickly and effectively while providing the technical capabilities to identify and remove duplicative information.
2: Prime Respondent's Prior Experience Dealing with Sub-contractors	Geographic Solutions has not previously managed sub-contractors to achieve project deliverables, but instead, acted as sole contractor to successfully meet project deadlines and budgets. In order to effectively manage the design, development, and implementation of the required Unemployment Compensation Claims and Benefits Information System (UCCBIS), Geographic Solutions proposes the following measures to coordinate the timely and accurate performance of its sub-contractors: 1. Geographic Solutions, [redacted], Inc., and [redacted] Corporation shall participate in the client kickoff session, as well as the JAR/JAD session, to ensure the accurate receipt of information and to provide project assistance within each contractor/sub-contractor's area(s) of expertise. 2. Geographic Solutions shall host regularly scheduled conference calls to perform progress assessment and ensure all project deadlines are successfully met. [redacted], Inc. and [redacted] Corporation may also request conference calls to address issues, concerns, or simply promote a strong working relationship. 3. Shared communications (report, spreadsheet, chart, email, etc) shall be disseminated under the mutually agreed upon protocol. 4. Product demonstration or other visual displays via web conference shall be conducted by request. 5. Physical visits to a sub-contractor facility shall be conducted as needed, should an issue or concern require the proper escalation.
3: Prime Respondent's Prior Experience with [redacted], Inc and [redacted] Corporation	Although Geographic Solutions has never partnered with either sub-contractor, we selected each for the following reasons: Outstanding reputation Product innovation Physical proximity Aligned business interests Commitment to excellence Ability to perform Established business identity Financial stability Clean business record
4: Contracts/Agreements Related to this ITN	As the prime Respondent, Geographic Solutions has not entered into any contract or agreement with any sub-contractors that are related to this ITN.

6.3 Dun & Bradstreet – Supplier Qualifier Report

Per the requirements of the ITN for Tab 6, and Attachment H, Geographic Solutions is submitting a copy of Dun & Bradstreet's Supplier Qualifier Report (SQR) with this response. Due to confidential financial information, the Supplier Qualifier Report is submitted in a separate, sealed envelope at the back of this Technical Volume.

The full Dun & Bradstreet's Supplier Qualifier Report (SQR) will detail financial and operational capability. Our Dun & Bradstreet Rating is also indicated below.

Also note that Geographic Solutions' current Dunn and Bradstreet rating is **4A1**. Our number is 96-575-8758.

7 Personnel

7.1 Resumés and Experience – *Geographic Solutions, Inc.*

Geographic Solutions is proposing a project team organization for the Florida Unemployment Compensation project that reflects our unparalleled experience in similar unemployment and labor exchange projects. The Senior Management Committee has primary responsibility for the management and coordination of the project and is responsible for providing direction regarding any general business decisions. This team consists of eight senior and experienced members of the Geographic Solutions staff. Reporting to the Senior Management Committee are five managers that are responsible for the ten teams that comprise the overall project staff. Each team specializes in specific aspects of the project cycle. Staff within each team report directly to the team manager who is responsible for the activities of that team.

The largest team is the Development Team. This team is further subdivided into groups. Each group has a staff of developers that are responsible for specific aspects of the development of the product.

Geographic Solutions Project Organizational Chart

The overall organization of the proposed Florida GUS Project Team, including all the key project team members and their role/title within the project, is outlined in the main figure shown below. Four figures follow this figure, which list all proposed personnel within each of the teams indicated in the figure summary organization chart below.

Florida GUS Project - Organization Chart (Summary)

The staffing level chart, and the details/descriptions on the functional roles and responsibilities of the project team members are included as a table (as requested in the ITN), following the next four charts which list all the individual team members. These are followed by resumés for all the personnel, and other information demonstrating that Geographic Solutions' is uniquely positioned with personnel who have the experience to provide the products and services for the Florida UC GUS system meeting the requirements of the ITN.

Florida GUS Project - Organization Chart (Training/Doc and Multimedia Team)

Florida GUS Project - Organization Chart (Business Analysis and Production Team)

Florida GUS Project - Organization Chart (Data Conversion, Operations and Quality Assurance Teams)

Florida GUS Project - Organization Chart (Quality Assurance Team)

7.1.a Staffing Levels Chart

The following chart depicts staffing levels over the duration of the proposed project. (See tab 4 for details on the staffing and the proposed Project Plan.)

High Level Staffing Roles and Phases (Chart 5)

7.1.b Roles of Key Geographic Solutions Project Team Members

Geographic Solutions' proposed GUS project team members will handle a variety of roles in the Florida GUS project. These key project team members are indicated in the previous project organizational charts, which indicate the specific teams/groups and individuals to be involved in each of the areas for the development and deployment of a successful system. The key project members roles are summarized below, along with summary duration, experience on similar projects, and tenure with Geographic Solutions (as requested under *Resumés and Experience* on page 22 of the ITN).

High Level Staffing Roles and Phases (Chart 1)

	High Level Staffing Roles and Phases (Chart 2)			
High Level Staffing Roles and Phases (Chart 3)				

7.1.c Resumés for Geographic Solutions' Key Project Team Members

Geographic Solutions is including full resumés for the following key project personnel, related to the staff positions in the table above for the proposed Florida GUS Project.

None of the team members indicated above as project team members for the Geographic Solutions' GUS project (and described in the resumés that follow) have any current relationships (professional or personal) to any state agencies, school districts, or local governments (Florida cities or counties) or to any other organizations that could be potential conflicts of interests.

7.1 Senate Bill 2386 – Respondent Info.

Although the pending legislation for Senate Bill 2386, section 49, does not appear to apply to this contract per item (2), since the contract was likely not funded prior to June 1, 2010, Geographic Solutions is nonetheless completely compliant with the items indicated below related to this Senate Bill:

- The location of the Geographic Solutions Team's existing primary business operations, and all operations proposed for this contract, is within the State of Florida.
- The existing number and type of employees in the state is 121 full-time salaried employees, 16 full-time hourly employees. Geographic Solutions plans to hire an addtional 45 full time employees in the state of Florida.
- If awarded this contract, Geographic Solutions plans to maximize the use of Florida–based residents and Florida-based businesses in fulfilling the contractual duties, by using the Project Team members indicated in this section (all of whom are Florida residents), and using a Florida-based business for sub-contracting work.

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8 Attachments

This section includes the required attachments in the ITN documentation for Attachments A through S, as indicated below.

Note: *Attachment Q – Requirements Response Matrix is only included as an electronic document (as per instructions in the ITN), and Attachment S – Cost Response is included separately in a sealed envelope (as per instructions in the ITN).*

ATTACHMENT A – REFERENCE FORM

Respondent's Name: Geographic Solutions, Inc

Please provide at least two (2) Contact Names for each reference.

Company Name:	**District of Columbia Department of Employment Services**
Address:	
Contact Name:	
Contact Phone:	
Contact Email:	
Alternate Contact Name:	
Alternate Contact Phone:	
Alternate Contact Email:	
Description of Work:	
Service Dates: Dates must demonstrate at least one (1) continuous year	
Approximate Contract Value:	

Company Name:	
Address:	
Contact Name:	
Contact Phone:	
Contact Email:	
Alternate Contact Name:	
Alternate Contact Phone:	
Alternate Contact Email:	
Description of Work:	
Service Dates: Dates must demonstrate at least one (1) continuous year	
Approximate Contract Value:	

Company Name:	
Address:	
Contact Name:	
Contact Phone:	
Contact Email:	
Alternate Contact Name:	
Alternate Contact Phone:	
Alternate Contact Email:	
Description of Work:	
Service Dates: Dates must demonstrate at least one (1) continuous year	
Approximate Contract Value:	

_____
*Authorized Signature (Manual)

Paul Toomey, President
*Authorized Signature (Typed), Title
*This individual must have the authority to bind the Respondent.

ATTACHMENT B – DRUGFREE WORKPLACE CERTIFICATION

Preference shall be given to businesses with drugfree workplace programs. Whenever two or more responses which are equal with respect to price, quality, and service are received by the State or by any political subdivision for the procurement of commodities or contractual services, a response received from a business that certifies that it has implemented a drug-free workplace program shall be given preference in the award process. Established procedures for processing tie responses will be followed if none of the tied Respondents have a drug-free workplace program. In order to have a drug-free workplace program, a business shall:

1) Publish a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the workplace and specifying the actions that will be taken against employees for violations of such prohibition.
2) Inform employees about the dangers of drug abuse in the workplace, the business policy of maintaining a drug-free workplace, available drug counseling, rehabilitation, and employee assistance programs, and the penalties that may be imposed upon employees from drug abuse violations.
3) Give each employee engaged in providing the commodities or contractual services that are under this solicitation a copy of the statement specified in subsection (1) above.
4) In the statement specified in subsection (1), notify the employees that, as a condition of working on the commodities or contractual services that are under this solicitation, the employee will abide by the terms of the statement and will notify the employee of any conviction of, or plea of guilty or nolo contendere to, any violation of Chapter 893 or of any controlled substance law of the United States or any state, for a violation occurring in the work place no later than five (5) days after such conviction.
5) Impose a sanction, on, or require the satisfactory participation in a drug abuse assistance or rehabilitation program if such is available in the employee's community, by any employee who is so convicted.
6) Make a good faith effort to continue to maintain a drug-free workplace through implementation of this section.

As the person authorized to sign the statement, I certify that this firm complies fully with the above requirements.

_____
*Authorized Signature (Manual)

Paul Toomey, President
*Authorized Signature (Typed), Title

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

ATTACHMENT C – DISCLOSURE STATEMENT

CONFLICT OF INTEREST DISCLOSURE

The award hereunder is subject to the provisions of Chapter 112, Florida Statutes. Respondents must disclose with their bids whether any officer, director, employee or agent is also an officer or an employee of the Agency, the State of Florida, or any of its Agencies. All firms must disclose the name of any state officer or employee who owns, directly or indirectly, an interest of five percent (5%) or more in the Respondent's firm or any of its branches or affiliates. All Respondents must also disclose the name of any employee, agent, lobbyist, previous employee of the Agency, or other person, who has received or will receive compensation of any kind, or who has registered or is required to register under Section 112.3215, Florida Statutes, in seeking to influence the actions of the Agency in connection with this procurement.

The following persons are officers, director, employee, etc., have a 5% or greater interest in the Respondent's firm:

_____ _____

_____ _____

The following persons are a state officer or employee who owns 5% or greater interest in the Respondent's firm:

_____ _____

_____ _____

The following persons have sought to influence the Agency in this procurement on behalf of the Respondent.

_____ _____

_____ _____

☑ The Respondent has no conflict of interest to disclose and has had no person seeking to influence the Agency in connection with this procurement.

_____

*Authorized Signature (Manual)

Paul Toomey, President

*Authorized Signature (Typed), Title

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

ATTACHMENT D – CERTIFICATION REGARDING DEBARMENT,
SUSPENSION, INELIGIBILITY AND VOLUNTARY EXCLUSION
CONTRACTS/SUBCONTRACTS

This certification is required by the regulations implementing Executive Order 12549, Debarment and Suspension, signed February 18, 1986. The guidelines were published in the May 29, 1987, Federal Register (52 Fed. Reg., pages 20360-20369).

INSTRUCTIONS

1. Each provider whose contract/subcontract equals or exceeds $25,000 in federal monies must sign this certification prior to execution of each contract/subcontract. Additionally, providers who audit federal programs must also sign, regardless of the contract amount. The Agency for Workforce Innovation cannot contract with these types of providers if they are debarred or suspended by the federal government.

2. This certification is a material representation of fact upon which reliance is placed when this contract/subcontract is entered into. If it is later determined that the signer knowingly rendered an erroneous certification, the Federal Government may pursue available remedies, including suspension and/or debarment.

3. The provider shall provide immediate written notice to the contract manager at any time the provider learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

4. The terms "debarred," "suspended," "ineligible," "person," "principal," and "voluntarily excluded," as used in this certification, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the contract manager for assistance in obtaining a copy of those regulations.

5. The provider agrees by submitting this certification that, it shall not knowingly enter into any subcontract with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this contract/subcontract unless authorized by the Federal Government.

6. The provider further agrees by submitting this certification that it will require each sub-contractor of this contract/subcontract, whose payment will equal or exceed $25,000 in federal monies, to submit a signed copy of this certification.

7. The Agency for Workforce Innovation may rely upon a certification of a provider that it is not debarred, suspended, ineligible, or voluntarily excluded from contracting/subcontracting unless it knows that the certification is erroneous.

8. This signed certification must be kept in the contract manager's contract file. Sub-contractor's certifications must be kept at the Respondent's business location.

CERTIFICATION

1. The prospective provider certifies, by signing this certification, that neither he nor his principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this contract/subcontract by any federal department or agency.

2. Where the prospective provider is unable to certify to any of the statements in this certification, such prospective provider shall attach an explanation to this certification.

_____
*Authorized Signature (Manual)

Paul Toomey, President
*Authorized Signature (Typed), Title

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

ATTACHMENT E – CERTIFICATION REGARDING LOBBYING

CERTIFICATION FOR CONTRACTS, GRANTS,
LOANS AND COOPERATIVE AGREEMENTS

The undersigned certifies, to the best of his or her knowledge and belief, that:

No federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a member of congress, an officer or employee of congress, or an employee of a member of congress in connection with the awarding of any federal contract, the making of any federal grant, the making of any federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any federal contract, grant, loan, or cooperative agreement.

If any funds other than federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a member of congress, an officer or employee of congress, or an employee of a member of congress in connection with this federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

The undersigned shall require that the language of this certification be included in the award documents for all sub-awards at all tiers (including subcontracts, sub-grants, and contracts under grants, loans, and cooperative agreements) and that all sub-recipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

_____
*Authorized Signature (Manual)

Paul Toomey, President
*Authorized Signature (Typed), Title

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

ATTACHMENT F – LIST OF SUB-CONTRACTORS

Each Respondent shall submit with their response a list of the sub-contractors who will perform work under the contract resulting from this solicitation. The Respondent shall have determined to their own complete satisfaction that a listed sub-contractor has been successfully engaged in the related sub-contracted services and is qualified to provide the services for which each sub-contractor is listed.

In the event that no sub-contractor will be used, this list shall be returned indicating "No Sub-contractors will be used."

NO SUB-CONTRACTORS WILL BE USED: ☐

_____
*Authorized Signature (Manual)

Paul Toomey, President
*Authorized Signature (Typed), Title

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

ATTACHMENT G – REFERENCE QUESTIONNAIRE

The reference questionnaire provided as Attachment G of the ITN has been completed by individuals representing each of the clients listed previously in Attachment A, Reference Form, which are:

- District of Columbia Department of Employment Services
- New Mexico Department of Labor
- Louisiana Workforce Commission

These references are provided using the form in Attachment G, and submitted in separate standard envelopes, sealed and signed, at the the back of this Technical Volume.

ATTACHMENT H – DUN & BRADSTREET SUPPLIER QUALIFIER REPORT

Per the requirements of the ITN for Tab 6, and Attachment H, Geographic Solutions is submitting a copy of Dun & Bradstreet's Supplier Qualifier Report (SQR) with this response. Due to confidential financial information, the Supplier Qualifier Report is submitted in a separate, sealed envelope at the back of this Technical Volume.

ATTACHMENT I – NON-COLLUSION AFFIDAVIT

By signature below I state that I am authorized to make this affidavit on behalf of this firm, and its owner, directors, and officers. I am the person responsible in this firm for the price(s) the amount of this reply, and the preparation of the reply.

I state that

1. The prices(s) and amount of this reply have been arrived at independently and without consultation, communication or agreement with any other contractor, bidder or potential bidder.
2. Neither the price(s) nor the amount of this reply, and neither the approximate price(s) nor approximate amount of this reply, have been disclosed to any other firm or person who is a bidder or potential bidder, and they will not be disclosed before bid opening.
3. No attempt has been made or will be made to induce any firm or persons to refrain from submitting a reply for this contract, or to submit a price(s) bid higher that the price(s) in this reply, or to submit any intentionally high or noncompetitive price(s) or other form of complementary reply.
4. The reply of my firm is made in good faith and not pursuant to any agreement or discussion with, or inducement from, any firm or person to submit a complementary or other noncompetitive reply.

   Geographic Solutions, Inc its affiliates, subsidiaries, officers, director and employees are not currently under
   (Name of Firm)
   investigation by any governmental Agency and have not in the last three years been convicted or found liable for any act prohibited by State or Federal law in any jurisdiction, involving conspiracy or collusion with respect to bidding on any public contract, except as follows:

   I state that Geographic Solutions, Inc understands and acknowledges that the
   (Name of Firm)
   above representation are material and important, and will be relied on by State of Florida for which this bid is submitted.

I understand and my firm understands that any misstatement in this affidavit is and shall be treated as fraudulent concealment from the State of Florida of the true facts relating to the submission of bids for this contract.

Authorized Signature: _____ Date: _____

State of Florida, County of Pinellas

Sworn to and subscribed before me this _____day of _____, 2010

By _____ as _____ for _____
(Name of person) (Type of Authority, Officer, Attorney) (Firm/Company Name)

_____(Signature of Notary Public)_____
Print/Type/Stamp Commissioned Name of Notary Public

Personally Known_____ or Produced Identification_____

Type of Identification Produced _____

ATTACHMENT J – PROOF OF SIGNATURE AUTHORITY

This Invitation to Negotiate shall include proof of signature authority if someone other than the President or Chairman of the Board of Directors signs the reply to this Invitation to Negotiate.

This proof shall be one of the following:

- A written statement by the President or Chairman of the Board delegating authority to a particular person; or
- A copy of the entity's by-laws reflecting signature authority to a particular person; or
- A copy of the Board of Directors meeting minutes that show action to delegate signature authority to a particular person or position.

If delegating signature authority, please complete the below and include one of the above required documents.

_____
(Type Name and Title of President or Chairman of the Board of Directors)

_____
(Type Name of Person to Whom Signature Authority is Delegated)

_____
(Type Title of Person to Whom Signature Authority is Delegated)

ATTACHMENT K – CERTIFICATE OF GOOD STANDING

Geographic Solutions is attaching a copy of the Certificate of Good Standing from the Florida Secretary of State's office, on the following page.

State of Florida

Department of State

I certify from the records of this office that GEOGRAPHIC SOLUTIONS, INC. is a corporation organized under the laws of the State of Florida, filed on January 3, 1994.

The document number of this corporation is P94000001968.

I further certify that said corporation has paid all fees due this office through December 31, 2010, that its most recent annual report was filed on March 3, 2010, and its status is active.

I further certify that said corporation has not filed Articles of Dissolution.

Given under my hand and the Great Seal of Florida, at Tallahassee, the Capital, this the Fourth day of March, 2010

Secretary of State

Authentication ID: **600171111336-030410-P94000001968**

To authenticate this certificate,visit the following site, enter this ID, and then follow the instructions displayed.
https://efile.sunbiz.org/certauthver.html

ATTACHMENT L – CERTIFIED SERVICE-DISABLED VETERAN BUSINESS ENTERPRISES CERTIFICATION (if applicable)

For Geographic Solutions, Attachment L, a copy of the Certified Service-Disabled Veteran Business Enterprises (CSDVBE) Certification, is not applicable.

ATTACHMENT M – RESPONSE CHECKLIST

Geographic Solutions, understands that the following Attachment M, Response Checklist is not a requirements, but an aid to help us ensure ensure that our response package can be accepted. We will be sure the following items are completed and enclosed. This checklist is provided merely for the convenience of the Respondent and may not be relied upon in lieu of the instructions or requirements of this solicitation. The Agency is not liable for omissions or errors in this checklist. Attachment M is not required to be completed and returned with the response.

Check off each of the following:

_____1. The AWI Solicitation Acknowledgement Form has been completed, manually signed, and enclosed in the original response. If a Respondent fails to submit a completed AWI Solicitation Acknowledgement Form with their response, the Agency reserves the right to contact the Respondent by telephone for submission of this document via fax with follow up via mail. The right shall be exercised when the Respondent has met all other requirements of the response.

In the event that Respondents submit a response as a joint venture, each member of the joint venture must complete and sign a separate Solicitation Acknowledgement Form.

_____2. The Reference Form (Attachment A) has been completed with three references as required in the solicitation.

_____3. The Drug-Free Workplace Certification (Attachment B), Disclosure Form (Attachment C), Debarment Form (Attachment D) and Lobbying Form (Attachment E) have been read, completed, signed, and enclosed in the original response, if applicable.

_____4. The List of sub-contractors, if applicable (Attachment F) has been completed, signed, and attached if applicable.

_____5. Signed and sealed Reference Questionnaire's (Attachment G) from three references have been included as required in solicitation.

_____6. The Dun and Bradstreet Supplier Qualifier Report (Attachment H).

_____7. The Non-Collusion Affidavit (Attachment I) has been completed, signed, and attached.

_____8. The Proof of Signature Authority (Attachment J) has been completed, signed, and attached.

_____9. The Certificate of Good Standing (Attachment K) has been attached.

_____10. The Certified Service-Disabled Veteran Business Enterprises (CSDVBE) Certification (Attachment L) has been attached, if applicable.

_____11. This Response Checklist (Attachment M) has been completed and attached.

_____12. This Intent to Submit Response (Attachment N) was submitted by the date and time listed in Section B.2, Calendar of Events.

_____13. The Response to Scope of Work (Attachment O) has been completed, signed, and attached, if applicable.

_____14. The Response to Special Conditions (Attachment P) has been completed, signed, and attached, if applicable.

_____15. The Requirements Response Matrix (Attachment Q) has been completed and attached. The electronic response must be submitted as both a Microsoft Excel 2007 version and an Adobe Acrobat PDF file format.

_____16. The Requirements Response Summary Form (Attachment R) has been completed and attached. The electronic response must be submitted as both a Microsoft Excel 2007 version and an Adobe Acrobat PDF file format.

_____17. All sections of the Cost Response (Attachment S) has been completed, reviewed for accuracy and signed by authorized representative, this individual must have the authority to bind the Respondent. The electronic response must be submitted as both a Microsoft Excel 2007 version and an Adobe Acrobat PDF file format.

_____18. The www.myflorida.com website has been checked and any Addendums posted have been completed, signed, and included in the original response.

_____19. The original response must be received, at the location specified, prior to the Response Opening Date and Time designated in the Invitation to Response Document.

_____20. The Technical Response has been packaged separately and does not include any references to Cost Data as required in the solicitation.

_____21. One (1) original, signed and sealed Technical response; along with seven (7) copies and twenty (20) electronic copies (on compact disc).

_____22. One (1) original, one (1) copy, and one (1) electronic copy (on compact disc) of the sealed Cost Response Response. The electronic response must be submitted as both a Microsoft Excel 2007 version and an Adobe Acrobat PDF file format.

_____23. One (1) original and one (1) electronic copy (on compact disc) of a Redacted Copy of its response, if necessary.

ATTACHMENT N – INTENT TO SUBMIT RESPONSE

State of Florida
Agency for Workforce Innovation
Purchasing Office
MSC B-047 Caldwell Bldg
107 E. Madison Street
Tallahassee, FL 32399-4102

COMPLETE AND RETURN THIS FORM BY THE DUE DATE AND TIME REFERENCED IN THE INVITATION TO NEGOTIATE SECTION B.2, CALENDAR OF EVENTS OF THIS ITN.

The required form was submitted by Geographic Solutions. Geographic Solutions is included in the list of bidders who have indicated their intention to submit, and AWI has responded with notification of this.

ATTACHMENT O – RESPONSE TO SCOPE OF WORK

This form allows Contactors to propose modifications to the draft SOW language provided in Section D, Exhibit 1 of this ITN. All proposed modifications are subject to negotiations and do not imply agreement by the Agency. If no modification is proposed, enter "Accepted" in the table for each SOW section. This form may be expanded as need to facilitate response to this requirement.

SOW Section	Proposed Modification to SOW Language or "Accepted"
ALL SOW	Accepted

_____
*Authorized Signature (Manual)

Paul Toomey, President
*Authorized Signature (Typed), Title

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

ATTACHMENT P – RESPONSE TO SPECIAL CONDITIONS

This form allows Contactors to propose modifications to the Special Conditions language provided in the Agency's contract, Section D, Exhibit 3 of this ITN. All proposed modifications are subject to negotiations and do not imply agreement by the Agency. If no modification is proposed, enter "Accepted" in the table for each Special Condition. This form may be expanded as need to facilitate response to this requirement.

Special Condition Section	Proposed Modification to Special Condition Language or "Accepted"
Special Conditions 1 to 13	Accepted
Special Condition 14	We suggest that this language be clarified to indicate that COTS software is the property of a organization (not Agency) that owns the intellectual property rights and that modifications to the software to meet the specific needs of the state will not affect those rights and that COTS software may require agreeing to an annual license.
Special Conditions 15 to 47	Accepted

_____
*Authorized Signature (Manual)

Paul Toomey, President
*Authorized Signature (Typed), Title

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

ATTACHMENT Q – REQUIREMENTS RESPONSE MATRIX

For Attachment Q, each respondent shall complete the Requirements Response Matrix (Attachment Q). A printed copy should **not** be included in the Respondent's response. The electronic response must be submitted as both a Microsoft Excel 2007 version and an Adobe Acrobat PDF file format.

As per the ITN requirement, Geographic Solutions has completed the Requirements Response Matrix (Attachment Q), and has submitted an electronic response as both a Microsoft Excel 2007 version and an Adobe Acrobat PDF file format. We understand from the requirements that a printed copy should not be included in the Respondent's response.

ATTACHMENT R – REQUIREMENTS RESPONSE SUMMARY FORM

Geographic Solutions has completed and is returning the Requirements Response Summary Form (Attachment R) which is below. This is based on the responses in Attachment Q (which is only electronic per ITN requirement)..

Respondent Response	Definition
0	Cannot Support requirement - The business function is not included in the base product, the base product cannot be configured, or customized software cannot be developed to meet the required functionality.
1	Customization required - The business function requires customized changes to the base product or software development apart from the base product's design, process or structure or customized software needs to be developed to meet the required functionality or integration with another software is needed.
2	Configuration required - The business function can be met by configuring the base product. In this context, "configuring" means that coding is not required.
3	Included in base product - The business function is included in the base product(s) and is fully demonstrable.
Note:	The Extent of Effort information is required if the contractor's response to the requirement is 1 or 2 (Customization Required or Configuration Required).
Extent of Effort	Definition
Trivial	Less than 8 hours
Low	9 hours to 80 hours
Medium	81 hours to 500 hours
High	501 hours and above

Respondent Response	Extent of Effort	Totals
0 - Cannot Support Requirement		
0 Total		
1 - Customization Required	Trivial	
	Low	
	Medium	
	High	
1 Total		
2 - Configuration Required	Trivial	
	Low	
	Medium	
	High	
2 Total		
3 - Included in Base Product		
3 Total		
Grand Total		

ATTACHMENT S – COST RESPONSE

For Attachment S, Geographic Solutions has completed all sections of the Cost Response (Attachment S), reviewed them for accuracy, and had them signed by an authorized representative with the authority to bind Geographic Solutions, Inc.

These forms are submitted, pre ITN requirements, as a separate Cost Response. They are packaged separately from the technical response. The electronic Cost Response is submitted as both a Microsoft Excel 2007 version and an Adobe Acrobat PDF file format, with this separate package.

ATTACHMENT T – QUESTION SUBMITTAL FORM

For Attachment T, Respondents shall complete the form provided based on their questions relating to this ITN. The completed form shall be submitted in accordance with the instructions provided in Section B.5. The electronic response must be submitted as a Microsoft Word 2007 version file format. This form may be expanded as needed to facilitate response to this requirement.

Geographic Solutions has completed this form. We understand that this form is not applicable for questions as part for the final ITN response.

Respondent's Name: Geographic Solutions, Inc

Respondent Question Number	ITN Page, Section Number, Subsection Reference	Question
1		
2		
3		
4		
5		
6		
7		
8		
9		
10		

*Add rows as necessary.

_____
*Authorized Signature (Manual)

Paul Toomey, President
*Authorized Signature (Typed), Title

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

9 Appendix

The following enlarged images include system screen-shots and system flow diagrams describing functionality from Tab 5: Functional Description.