

State of Wisconsin  
 Department of Employee Trust Funds  
 DOA-3049 (R01/2000))  
 S. 51.01(5) Wis. Stats.; s. 111.32(13m) Wis. Stats.



Department of Employee Trust Funds  
 801 W. Badger Road  
 P. O. Box 7931  
 Madison, WI 53707-7931

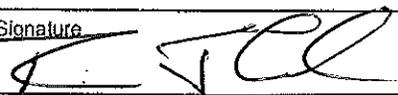
## Contract

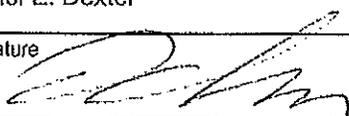
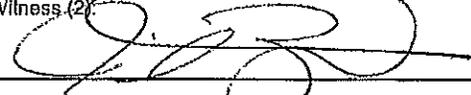
**Commodity or Service:** Request for Bid for the State of Wisconsin Department of Employee Trust Funds development, maintenance and support for the Wisconsin Retirement (WRS) Benefit Payment System (BPS) Request for Bid/Proposal No: ETJ0018 by NVISIA, LLC as modified or clarified in Change Order #1

**Contract Period:** February 8th, 2010 through June 30th, 2014 plus three 2-year periods Change Order #7

1. This contract is entered into by and between the State of Wisconsin, Department of Employee Trust Funds, and the contractor whose name, address, and principal officer appears below;
2. Whereby the Department of Employee Trust Funds, agrees to direct the purchase and the contractor agrees to supply the contract requirements cited above in accordance with the terms and conditions of the request for bid cited above, and in accordance with the contractor's bid submitted on this request for bid; which request for bid is hereby made a part of this contract and as modified or clarified in Change Order #1;
3. In connection with the performance of work under this contract, the contractor agrees not to discriminate against any employees or applicant for employment because of age, race, religion, color, handicap, sex, physical condition, developmental disability as defined in s.51.01(5), Wis. Stats., sexual orientation as defined in s.111.32(13m), Wis. Stats., or national origin. This provision shall include, but not be limited to, the following: employment, upgrading, demotion or transfer; recruitment or recruitment advertising; layoff or termination; rates of pay or other forms of compensation; and selection for training, including apprenticeship. Except with respect to sexual orientation, the contractor further agrees to take affirmative action to ensure equal employment opportunities. The contractor agrees to post in conspicuous places, available for employees and applicants for employment, notices to be provided by the contracting officer setting forth the provisions of the nondiscrimination clause.
4. Contracts estimated to be over twenty-five thousand dollars (\$25,000) require the submission of a written affirmative action plan. Contractors with an annual work force of less than twenty-five (25) employees are exempted from this requirement.  
  
 Within fifteen (15) working days after the award of the contract, the plan shall be submitted for approval to the contracting agency. Technical assistance regarding this clause is provided by the Wisconsin Office of Contract Compliance, Department of Administration, P.O. Box 7867, Madison, WI 53707-7867, (608) 266-5462.
5. The Change Order #1 and five exhibits to this Change Order, modify the RFB mentioned above. Change Order #1 includes Exhibit 1 – NVISIA Response to RFB ETJ0018 for Wisconsin Department of Employee Trust Funds dated January 31, 2010, Exhibit 2 – BPS Billing Schedule dated January 31, 2010, Exhibit 3 – BPS Support and Lump Sum Acceptance Staffing dated January 31st, 2010, Exhibit 4 – BPS Consultant Rate Card, Effective January 31, 2010 – June 30, 2011 dated January 31, 2010, and Exhibit 5 – BPS Software Support Contract dated January 29, 2010. All other provisions of this contract unrelated to this Change Order remain in effect.
6. The Change Order #2 and four exhibits to this Change Order, modify Change Order #1. Change Order #2 includes Exhibit 1 – Benefit Payment System Contract ETJ0018 dated February 23, 2010, Exhibit 2 – Lump Sum Payment System Transition 2 – Acceptance Plan dated January 27, 2010, Exhibit 3 - BPS Billing Schedule dated February 17, 2010, and Exhibit 4 – BPS Support and Lump Sum Acceptance Staffing dated February 17, 2010. All other provisions of this contract unrelated to this Change Order remain in effect.
7. The Change Order #3 and two exhibits to this Change Order, modify Change Order #2. Change Order #3 includes Exhibit 1 – Benefit Payment System Contract ETJ0018 dated March 3, 2010, and Exhibit 2 – Lump Sum Payment System Transition 3 – Acceptance Plan dated February 24, 2010. All other provisions of this contract unrelated to this Change Order remain in effect.
8. The Change Order #4 and one exhibit to this Change Order, modify Change Order #3. Change Order #4 includes Exhibit 1 – Benefit Payment System Contract ETJ0018 dated May 5, 2010. All other provisions of this contract unrelated to this Change Order remain in effect.
9. The Change Order #5 and three exhibits to this Change Order modify Change Order #4. Change Order #5 includes Exhibit 1 – Benefit Payment System Contract ETJ0018 BPS Change Order dated September 13, 2010, Exhibit 2 - BPS/Lump Sum Additional Development Support dated September 13, 2010, and Exhibit 3 – BPS Billing Schedule dated September 13, 2010. All other provisions of this contract unrelated to this Change Order remain in effect.

10. The Change Order #6 and one exhibit to this Change Order, modify Change Order #5. Change Order #6 includes Exhibit 1 – Contract Amendment – BPS/Lump Sum Additional Development Support dated September 27, 2010. All other provisions of this contract unrelated to this Change Order remain in effect.
11. The Change Order #7 and three exhibits to this Change Order modify Change Order #6. Change Order #7 includes Exhibit 1 – Data Governance and Privacy Program Initiative Statement of Work PR-116, dated May 2, 2011, Exhibit 2 – Project Outline PR-116 dated May 9, 2011, and Exhibit Three Data Governance and Data Privacy Program Billing Schedule dated May 16, 2011. All other provisions of this contract unrelated to this Change Order remain in effect.

<b>State of Wisconsin Department of Employee Trust Funds</b>
By (Name) Robert J. Conlin
Signature 
Title Deputy Secretary
Phone 608/261-7940
Date (MM/DD/YYYY) 05/18/2011
Witness (1):
Witness (2):

<b>To be Completed by Contractor</b>
Company Name NVISIA LLC
Company Address (City, State, Zip) 200 South Wacker Drive 36 <sup>th</sup> Floor, Chicago, IL 60606
By (Name) Daniel E. Dexter
Signature 
Title CFO
Phone 312-985-8160
Date (MM/DD/YYYY) 05/16/2011
Witness (1): 
Witness (2): 

*This document can be made available in accessible formats to qualified individuals with disabilities.*

*State of Wisconsin*

*Department of Employee Trust Fund*

*Exhibit 1 - Data Governance and Privacy Program Initiative*  
*Statement of Work PR-116*

Prepared for: Bob Conlin  
Pam Henning  
Joanne Cullen  
Rhonda Dunn

Department of Employee Trust Funds  
Madison, Wisconsin

Presented: May 2, 2011

By: Sri Navalpakkam Managing Director - Enterprise Architecture  
Shaun Lovick Vice President - Delivery  
Dave Buettner Senior Account Manager -Wisconsin

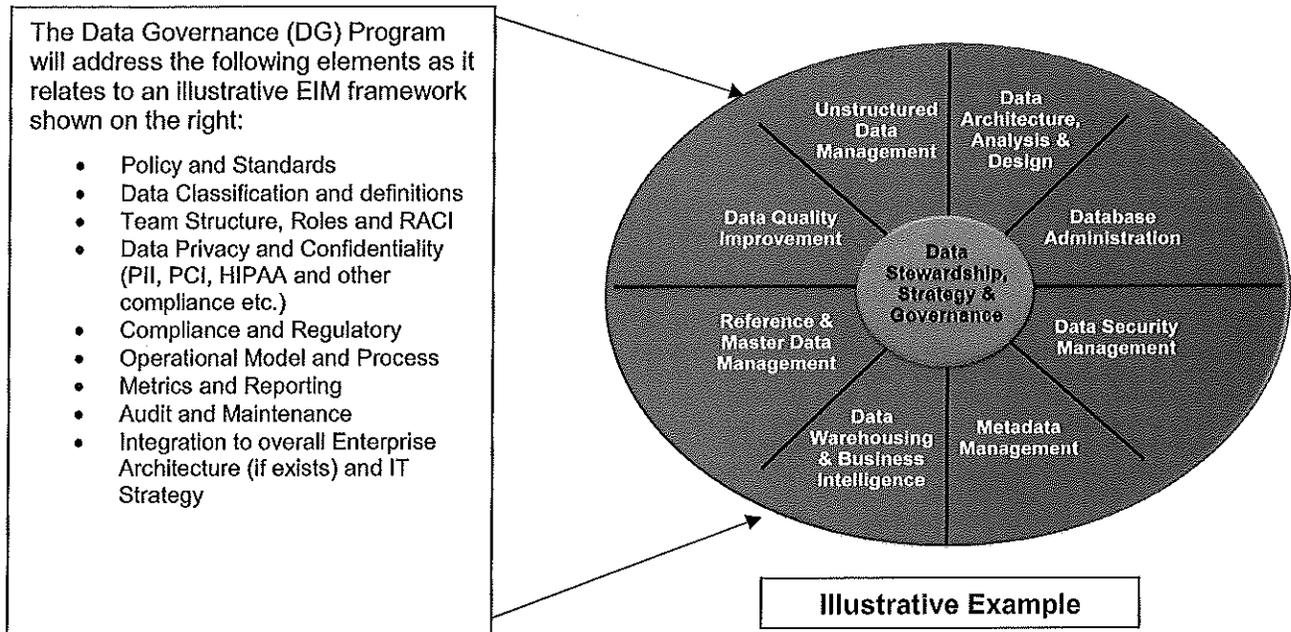
**Background:**

ETF has requested a proposal to provide assistance in establishing a Data Governance methodology and framework. Currently, ETF does not have a Data governance program in place. A Business Risk Assessment was recently completed and recommended that a Data Governance and Data Privacy Program (DG) be put in place. This program will help to ensure that the processes to control, protect, and manage data assets are in place.

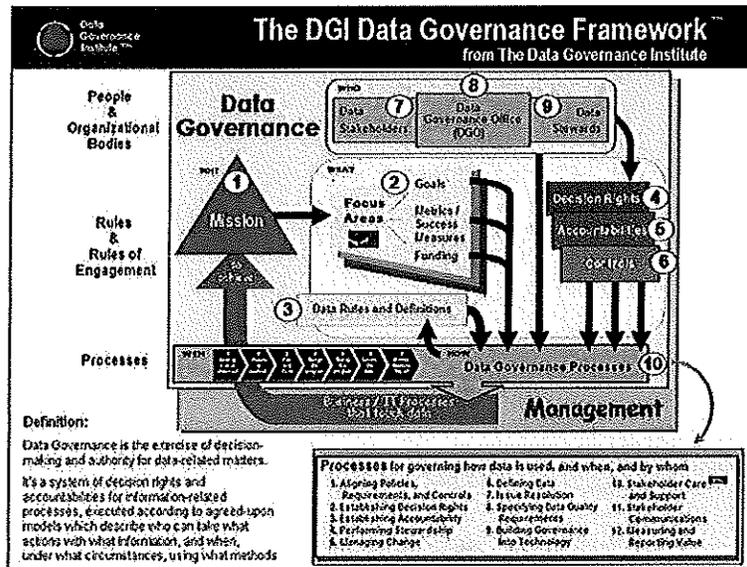
**Approach:**

NVISIA approaches the data governance as a critical component of overall Enterprise Information Management (EIM). In order to successfully define, execute and operate data governance program, the essential components of Enterprise Information Management should be considered as “building blocks” to the overall framework, structure and the process.

Following is a sample EIM illustration that depicts the various components:



NVISIA's Data Governance approach is a "best of breed" framework which uses TOGAF/DAMA standard practices along with leveraging the "Data Governance Institute" (DGI) framework shown below:



\*As shown on the DGI website

**Illustrative Example**

Upon engagement start, NVISIA team will work with the key ETF stakeholders to determine the applicability of relevant frameworks and customize to ETF's needs. The above illustrations are suggestive and should not be taken as prescriptive framework that will be used for ETF's data governance program.

NVISIA plans to engage a team based approach during this assessment: primarily an Enterprise Architect, and Managing Director providing oversight and direction. In addition, the team may leverage expertise from other NVISIA consultants who have subject matter knowledge of ETF systems and data.

The work under this Statement of Work (SOW) will be conducted over a three month week period at a cost of \$129,500.

The remainder of this document captures the scope, approach and plans for this project.

**Project Management**

This project will be managed by an ETF Project Manager and the Enterprise Architect from NVISIA. The Enterprise Architect will be responsible for coordinating the efforts to produce the Project Deliverables (see Project Deliverables Section), leading the NVISIA team and communicating project status with the ETF Project Manager.

NVISIA will communicate project status with weekly written status reports and meetings, in order to identify and resolve any issues and coordinate ETF involvement during the project.

NVISIA will be onsite at ETF as required in order to gain direct access to systems, applications and ETF Staff. NVISIA will also dedicate workspace in its offices located in Chicago and/or Milwaukee for NVISIA's Team.

**Assumptions**

The following assumptions have been made in preparing this estimate:

1. ETF will provide ready access to appropriate personnel on their staff to answer questions and provide feedback.
2. ETF will provide NVISIA with access to appropriate IT systems, data and processes that are in scope for the data governance program.
3. ETF will facilitate introduction to key Leadership Team. ETF staff will participate and respond to requests in a timely fashion. A delay of more than 3 business-days may delay the project.
4. ETF Personnel will participate and be fully available during phone and on-site interviews.
5. ETF will participate in management reviews of intermediate checkpoint meetings during current state assessment and future state summary.
6. ETF will provide access to the Enterprise Information Model as available.
7. ETF will provide access to the IT Transformation and Planning Project.

## Staffing

NVISIA proposes to staff this project with the following team based approach which will include ETF SME(s) to assist with specific ETF and Data concerns.

NVISIA's team approach will enable us to leverage the appropriate skills for each part of the assessment. The following roles will participate in the assessment as needed.

**Enterprise Architect (DG Lead)** – This role will lead the data governance program and is responsible for assessing the current state data landscape, defining the program charter and objectives and developing practical guidelines to implementation. This role will lead all the engagement deliverables creation. The person serving in this role has significant enterprise architecture experience working with a number of organizations and technologies. (estimated involvement 100%)

**Managing Director** – This role will oversee the delivery of this project and provide direction and leadership to the NVISIA team. This role will also help facilitate key client leadership and stakeholder discussions to clarify and ratify the DG framework and its critical components. The role will also lead in periodic checkpoint meetings with the client. (estimated involvement up to 25%)

**NVISIA ETF Subject Matter Team** – This team will provide insight into the data from both the business and technical side. We will be able to draw from a number of different NVISIA consultants who have experience with the ETF domain. (estimated involvement 10%)

## Project Deliverables

NVISIA will create the following candidate deliverables as part of this project. The inception phase of the project will determine the specific deliverables required for the engagement:

- **DG Program Charter** – Review and augment the program charter to define the goals, objectives, business and its stakeholders, benefits and value of the program along with proposed timeline for implementation. NVISIA will also provide a "What is Data Governance" educational presentation.
  - **DG Engagement/Process Model Framework** – Establish the framework and structure for the engagement model and identify the components of data governance processes and standards for data governance, data privacy and data classification. Define Metrics to track effectiveness of data governance and data privacy

- **Data Governance Framework** – Select, Define and describe the best of breed data governance framework.
- **Team Structure, Roles and RACI** – Define team structure, roles and develop a RACI chart to further define the interaction and responsibilities of the various roles.
- **Audit and Operational Support Requirements** – Create and document appropriate operational and support requirements.
  - Periodic review of alignment of data policies with business policies
  - Propose, review, approve changes
  - Communicate changes
  - Review effectiveness
- **Data Privacy and Confidentiality** – Create and revise the following data privacy and confidentiality policies and procedures:
  - *PII- personally identifiable information*
  - *HIPAA*
  - *PHI*
  - *other compliance and regulatory*

## Estimated Schedule

This SOW includes services for a three month effort. It is envisioned that the project will start the week of May 23<sup>rd</sup>, 2011 and will complete by the week of August 25<sup>th</sup>, 2011.

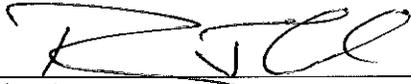
## Project Costs

This project will be conducted over a 3 month period at a cost of and materials basis for an estimated cost range of \$129,500. Terms are net 30 days. The estimated cost does not include travel (airfare or mileage at 55¢ per mile), meals, rental car and lodging charges for NVISIA's staff at the client site, which will be an additional charge.

Agreed to and accepted by:

ETF

Date 05/18/2011



Signature

ROBERT J. CONLIN

Name

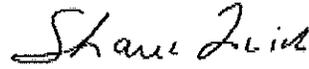
NVISIA

Date 5-16-2011



Signature

Sri Navalpakkam



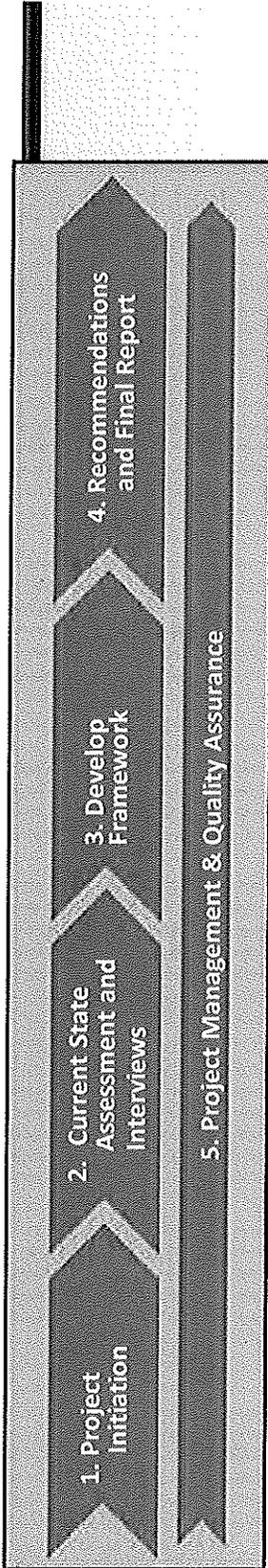
Signature

Shaun Lovick

State of Wisconsin  
ETF – Employee Trust Funds

Exhibit 2 Project Outline PR-116  
May 9th, 2011

## Project Methodology and High Level Outline



Project Phases and Deliverables						
Phase	Category	Phase Deliverables	1 2 Weeks	2 3 weeks	3 5 weeks	4 2 weeks
1	Project Initiation	<ul style="list-style-type: none"> <li>• Project Plan and Schedule</li> <li>• Kickoff Meeting Materials</li> <li>• Identify Key Stakeholders –ETF, Business and IT, Vendors - if any</li> </ul>				
2	Current State Assessment and Interviews	<ul style="list-style-type: none"> <li>• Pre Interview and Site Visit –Documentation Requests</li> <li>• Solicitation and Current State Business process and technical Documents</li> <li>• Interview ETF Business and IT Stakeholders and understand desired future state for data governance and process</li> <li>• Socialize various frameworks - and establish DGI framework Along with best of breed frameworks.</li> <li>• Gather inputs for developing Data Policy and standards requirements</li> <li>• Review and Augment DG program charter and key requirements.</li> </ul>				
3	Develop Framework	<ul style="list-style-type: none"> <li>• Analyze data collected via documents, interviews for constraints, desired future state DG process</li> <li>• Summarize key observations and findings – DRAFT deliverables</li> <li>• Finalize ETF's Data Governance framework</li> <li>• Conduct gap analysis with respect to desired future state data governance process</li> </ul>				
4	Recommendations and Final Report	<ul style="list-style-type: none"> <li>• Document findings, and conclusions</li> <li>• Recommendations and Management Report</li> <li>• Management Summary Presentation</li> </ul>				

## Candidate Deliverables

**DG Program Charter** – Review and augment the program charter to define the goals, objectives, business and its stakeholders, benefits and value of the program along with proposed timeline for implementation. NVISIA will also provide a “What is Data Governance” educational presentation.

**DG Engagement/Process Model Framework** – Establish the framework and structure for the engagement model and identify the components of data governance processes and standards for data governance, data privacy and data classification. Define Metrics to track effectiveness of data governance and data privacy

**Data Governance Framework** – Select, Define and describe the best of breed data governance framework.

**Team Structure, Roles and RACI** – Define team structure, roles and develop a RACI chart to further define the interaction and responsibilities of the various roles.

**Audit and Operational Support Requirements** – Create and document appropriate operational and support requirements.

- Periodic review of alignment of data policies with business policies
- Propose, review, approve changes
- Communicate changes
- Review effectiveness

**Data Privacy and Confidentiality** – Create and revise the following data privacy and confidentiality policies and procedures:

- PII- personally identifiable information
- HIPAA
- PHI
- other compliance and regulatory

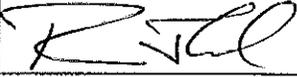
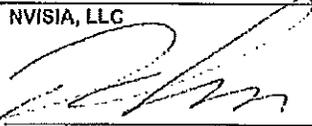
**State of Wisconsin - Employee Trust Funds**

**Benefit Payment System (BPS)**

Exhibit #3 - Data Governance and Data Privacy Project Billing Schedule 5/16/11



Title	Description	Cost
<b>Data Governance and Privacy Program Project</b>	Assist ETF in developing a Data Governance and Privacy Program (12) weeks.  See Exhibit #1 Data Governance and Privacy Program Statement of Work See Exhibit #2 - Data Governance and Privacy Program Project Outline  See Exhibit #3 - BPS Lump Sum Billing Schedule  <i>Note: Travel will be billed according to WI state guidelines and will not exceed \$20,000.</i>	          \$ 129,500.00

State of Wisconsin, Employee Trust Funds	NVIDIA, LLC
 DATE 05/18/2011	 DATE 5/16/2011
Robert J. Conlin Deputy Secretary	Daniel E. Dexter CFO

**State of Wisconsin - Employee Trust Funds**  
 Benefit Payment System (BPS)

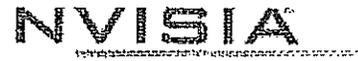


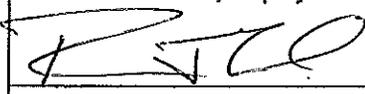
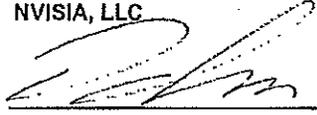
Exhibit #3 - Data Governance and Data Privacy Project Billing Schedule 5/16/2011

Date	Data Governance 2011	Data Governance 2011 Holdback	Total Monthly
May 31, 2011	22,500.00		\$ 22,500.00
June 30, 2011	40,000.00		\$ 40,000.00
July 29, 2011	40,000.00		\$ 40,000.00
August 31, 2011	14,050.00		\$ 14,050.00
September 30, 2011		\$ 12,950	\$ 12,950.00
October 31, 2011			\$ -
November 30, 2011			\$ -
December 30, 2011			\$ -
<b>Totals</b>	<b>\$ 116,550.00</b>	<b>\$ 12,950.00</b>	<b>\$ 129,500.00</b>

1H 2011
\$ 62,500.00

2H 2011
\$ 67,000.00

This billing schedule is for all work on the Data Governance Project to be completed from May 23, 2011 through August 23, 2011 including the related holdback billings as detailed in Change Order # 7.

State of Wisconsin, Employee Trust Funds	NVISIA, LLC
	
5/18/2011	5/18/2011
DATE	DATE
Robert J. Conlin Deputy Secretary	Daniel E Dexter CFO

Footnote Index	Description
1	Tied to BPS ETJ0018 Change Order #7