

ETJ0018 Change Order # 11

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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 #11

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.
12. The Change Order #8 and three exhibits to this Change Order modify Change Order #7. Change Order #8 includes Exhibit 1 – BPS Software Support Contract, dated June 8, 2011, Exhibit 2 – BPS Billing Schedule, dated June 8, 2011, and Exhibit 3 - BPS and Lump Sum Support Staffing, dated June 8, 2011. All other provisions of this contract unrelated to this Change Order remain in effect.
13. The Change Order #9 and two exhibits to this Change Order modify Change Order #7. Change Order #9 includes Exhibit 1 – Data Governance and Privacy Program Initiative, Phase 2 Statement of Work PR-116, dated July 18, 2011, Exhibit 2 – BPS Billing Schedule, dated July 18, 2011. All other provisions of this contract unrelated to this Change Order remain in effect.
14. The Change Order #10 and two exhibits to this Change Order modify Change Order #7. Change Order #10 includes Exhibit 1, Quality Assurance Framework Statement of Work PR-116, dated August 17, 2011, Exhibit 2 – Quality Assurance Project Billing Schedule, dated August 17, 2011. All other provisions of this contract unrelated to this Change Order remain in effect.
15. The Change Order #11 includes Exhibit 1- Statement of Work, dated October 5, 2011, and Exhibit 2 – Core Team Billing Schedule, dated October 13, 2011. All other provisions of this contract unrelated to this Change Order remain in effect.

State of Wisconsin Department of Employee Trust Funds
By (Name) Robert J. Conlin
Signature 
Title Deputy Secretary
Phone 608/261-7940
Date (MM/DD/CCYY) 10/25/2011

To be Completed by Contractor
Company Name NVISIA LLC
Company Address (City, State, Zip) 200 South Wacker Drive 36 th Floor, Chicago, IL 60606
By (Name) Daniel E. Dexter
Signature 
Title CFO

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

State of Wisconsin
Department of Employee Trust Funds

Core Team –
Demographic Data Service
IT Transformation Strategy and Planning
BPS and Lump Sum Support

Exhibit 1 Statement of Work

Prepared for: Dana Perry
Department of Employee Trust Funds
Madison, Wisconsin

Presented: October 5, 2011

By:

Shaun Lovick
Senior Vice President

Tracey Barrett
Principal Consultant

Mark Daniels
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NVISIA L.L.C.
200 South Wacker Drive, 36th floor
Chicago, Illinois 60606

NVISIA

Background

The State of Wisconsin Department of Employee Trust Funds (ETF) requires a Core Team from NVISIA to provide IT support on three key initiatives over the next seven months. Included on the team will be an NVISIA Principal Consultant, who will work closely with ETF management to plan and schedule the tasks and timing in support of the following projects:

- IT Transformation Strategy and Planning
- Demographic Data Service
- BPS/Lump Sum Support

This Statement of Work (SOW) outlines the approach, plan, deliverables and cost for NVISIA to manage and provide the necessary support to successfully deliver these projects over the next seven months. The approach and deliverables for each individual effort is identified below.

Approach and Deliverables

IT Transformation Strategy and Planning

NVISIA will provide a detailed strategy and implementation roadmap on how to transform ETF's legacy line of business systems to support online self-services. NVISIA will assign two (2) professionals to assist and work under the direction of ETF towards delivering the following goals:

- Provide an assessment of legacy IT systems and a business decision on each – retire, enhance or replace.
- Develop a specification of an enterprise application architecture including common platforms, technology standards and interaction between applications and database systems.
- Create a gap analysis between the current and future state.
- Design the roadmap for transforming between the current and future states.

Business Goals

NVISIA understands the IT business goals of this initiative to be:

- Produce an IT strategy that aligns with ETF's business strategy.
- Design a target future state architecture and a roadmap to achieve it.
- Introduce a standard software development methodology to ensure projects align to business goals.
- Create buy-in and acceptance of the architecture and plan among ETF business and IT staff to better enable successful program delivery.

Approach

A joint NVISIA and ETF team will work together to prepare the IT Strategy. This will provide NVISIA with an opportunity to vet recommendations in real time. Early feedback and issue detection will prevent rework late in the project and better ensure adoption of the findings and recommendations.

In addition to the Principal Consultant, NVISIA will staff the project with two Technical Architects. Together, these consultants would work with ETF to understand the current IT processes and implementations, what works well and what needs improvement, and how an iterative roadmap could be established to transform the organization and meet the business goals.

Exhibit 1 – Statement of Work

In designing enterprise architecture components, NVISIA will bring a service-oriented architecture perspective. Following this best practice, common business logic and its underlying data is centralized and made reusable. Applications manage their transactional data and application-specific logic, exposing it as necessary to portals and business intelligence tools.

Regarding the roadmap, NVISIA's main goal is to devise a series of manageable-sized projects that deliver functionality in a phased manner. Typically, the first phase of the roadmap addresses high-priority critical issues, builds out foundational elements and delivers a pilot project in the new architecture. Later phases incrementally deliver applications and realize additional business value.

Throughout the engagement, NVISIA will provide ongoing communication of status, findings and recommendations, vetting them with the key project stakeholders to ensure buy-in, and making adjustments as necessary.

Deliverables

Current State Assessment – Detailed assessment of legacy IT systems and a business decision on each – retire, enhance or replace – along with analysis of software development processes.

Enterprise Application Architecture – A specification including common platforms, technology standards, and interaction between applications and database systems.

Transformation Roadmap – Phased approach for implementing the IT transformation, including project definitions, high-level estimates and proposed sequencing.

Demographic Data Service

The State of Wisconsin Department of Employee Trust Funds (ETF) plans to introduce a centralized set of services to manage demographic data for its applications. This will include integration with legacy systems as well as support for new online applications. NVISIA will assist with the delivery of this project, working jointly with ETF staff to inspire their ownership of the system. ETF also intends to use this project to pilot processes to improve software quality.

Business Goals

NVISIA understands the IT business goals of this initiative to be:

- Online Access: ETF has a goal of expanding online access for its members. The Demographic Data Service will be a key component of the online system
- Data Quality: ETF has recognized data quality as a key concern and expects the Demographic Data Service project to improve the quality and consistency of the demographic data available to its employees and customers.
- Risk Mitigation: Addressing the Demographic Data Service project early will mitigate risk for the projects providing online self-service.

Approach

This project will be conducted according to the Unified Software Development Process (USDP), commonly referred to as the IBM Rational Unified Process (RUP).

Following the recommended methodology, this Statement of Work is for the first phases in this project – the Inception Phase and Elaboration Phase. The goals are to:

Exhibit 1 – Statement of Work

- Identify the scope of the project.
- Capture high priority project requirements.
- Identify business, management and technical risks.
- Design the system architecture.
- Build and demonstrate a successful working architecture, including any high-risk legacy integrations.
- Define processes to ensure software quality and build supporting templates.
- Create project estimates and plans.

The first release of the Demographic Data Service will be focused on supporting the needs of the online self-service portal project. To facilitate this, the requirements for each of these two projects will be considered in parallel.

ETF and NVISIA will form a combined team to complete the deliverables. The effectiveness of the team will be reviewed at regular intervals to ensure team members are working well together and sharing knowledge appropriately. In addition to the Principal Consultant, NVISIA's staff on this portion of the engagement will consist of two architects, one with a background in Data/Information Architecture, and the other specializing in Software Architecture.

Deliverables

NVISIA and ETF will work together to complete the project deliverables.

Use Case Survey – Defines the high-level scope for the project in terms of users, the goals/activities the users are trying to accomplish, and the external systems to be integrated with for each activity.

Risk List – Identifies the business, management and technical risks of the project and defines a mitigation strategy for each. This will be used to determine the sequencing of the project plan.

Software Architecture Document – Documents the architecture of the system and the factors considered in making architectural decisions. The purpose of this document is to facilitate development team expansion in later phases of the project.

Detailed Use Cases – Captures the functional requirements of the system. Non-functional requirements will also be documented.

Architectural Prototype – A working implementation of the highest priority use case(s), demonstrating the Demographic Data Service integrating with key legacy system(s).

Deployment Roadmap – A plan and timetable to deliver the demographic data solution to production. Also, a high-level roadmap and timetable for modifying each business application to use the demographic service.

Software Quality Processes (SDLC) – Process documentation, tools and templates, processes and procedures to support continuous software quality improvement.

BPS and Lump Sum Support

The Benefit Payment System (BPS) went into production at the Department of Employee Trust Funds (ETF) in October 2008. The BPS application is made of several components, including servers, network, infrastructure, databases, and the BPS software. NVISIA and ETF have previously monitored the trouble-tickets of the BPS system and defined a BPS support structure that divides support responsibilities between NVISIA and ETF resources. Now, ETF is interested in transitioning even more of the support tasks to their own staff.

Responsibilities

NVISIA, as part of the Core Team, will provide support in the form of two (2) resources (“NVISIA Support Technician”) approved by ETF to assist with the support of the BPS Software. This support will be on an ongoing basis throughout the term of this SOW and will entail an approximately 20% allocation of each of the two resources. The NVISIA Support Technicians will have the following responsibilities:

Responsibilities:

- Create a mentoring plan for each ETF programmer assigned to BPS/LSPS.
- Mentor and assist ETF Support Technicians as they develop software to resolve system problems
- Mentor and assist ETF Support Technicians as they complete functionality related to enhancement requests
- Mentor and assist ETF Support Technicians as they implement changes to improve system performance and maintainability
- Provide 3rd level support, with 24x7 coverage when necessary, for critical and non-critical issues related to the BPS Software
- Monitor payroll job processes and taking corrective action when appropriate
- Monitor annual processes and taking corrective action when appropriate
- Work with ETF programmers to update system documentation

Upon Request of ETF:

- Provide development support to resolve system problems
- Complete functionality related to enhancement requests
- Implement changes to improve system performance and maintainability

Requests for support extending the team members beyond their 20% allocation are recognized to impact the delivery schedule of the Demographic Data Service and IT Transformation Strategy and Planning. In the event this occurs NVISIA will work with ETF management if an adjustment in timeframe and cost is required. It is expected that BPS Lump Sum Support will be completed on April 27, 2012. This allocation will be monitored by the NVISIA Principal Consultant and reported to ETF Management to ensure the minimal necessary impact to those projects.

Project Management

The Principal Consultant from NVISIA will work in conjunction with ETF Project Manager(s) for the Data Demographic and IT Transformation Projects and will adhere to the project management communications process for BPS Lump Sum Support as outlined in the BPS Lump Sum Support contract. The Principal Consultant will be responsible for coordinating the efforts to produce the Project Deliverables, 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.

Assumptions

The following assumptions have been made in preparing this Statement of Work:

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 analysis and integration efforts.
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 Data Governance project.
7. ETF will provide access to the Enterprise Information Model Project.
8. ETF will provide access to the Quality Assurance Project.
9. ETF will provide access to the Online Services Project.
10. ETF will provide access to the PMO and the project to define the PM Guidelines.
11. ETF will provide access to the appropriate business stakeholders for each legacy system under review.

Staffing

NVISIA will provide a core team of five consultants to work on the projects and initiatives described in this SOW. Our plan is to have one (1) Principal Consultant, one (1) Information Architect and three (3) Technical Architects working across all of these efforts. The Principal Consultant will work with ETF to manage the timeline and assign work tasks to the appropriate team members to ensure deliverables are met.

The project will be accomplished by a joint NVISIA-ETF team. NVISIA will provide five (5) team members fulfilling the following roles:

Principal Consultant (1) – The consultant filling this role will lead NVISIA's efforts, accountable for the overall project timeline, quality of effort, resource assignment, and escalation of issues. This consultant will also have primary responsibility for designing SDLC components, creating the Transformation Roadmap and socializing the plan throughout ETF to develop support and buy-in.

Information Architect (1) – The consultant filling this role will have a background in information / data architecture and provide the Demographic Data Service project with knowledge and experience in industry best practices for modeling, accessing and managing ETF's demographic data.

Technical Architect (3) – The consultants filling this role will have software architecture and development backgrounds. They will be responsible for identifying and mitigating technical risks, analyzing existing systems, prototyping integration techniques, developing software components and supporting Lump Sum and BPS.

ETF – Change Order #11

NVISIA

Exhibit 1 – Statement of Work

All consultants will be responsible for contributing to a collaborative team atmosphere and mentoring ETF staff on their various areas of expertise.

Estimated Schedule

This SOW includes services for a seven month period beginning October 17, 2011 and continuing through April 27, 2012.

Project Cost

The total cost for BPS Support, Data Demographics and IT Transformation under this SOW is \$800,000. See Exhibit #2 – Payment Schedule.

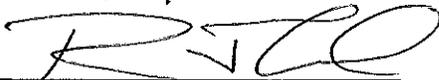
Signatures

Agreed to and accepted by:

ETF

Date

10/25/2011



Signature

Name

Robert J. Conlin
Deputy Secretary –

NVISIA

Date

10/24/2011



Signature – Shaun Lovick

Name

Shaun Lovick

State of Wisconsin - Employee Trust Funds
 Data Demographics and IT Transformation
 Change Order #-11 - Exhibit #2 - Core Team Billing Schedule 10/13/2011

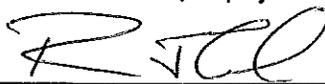


Date	Data Demographics	IT Transformation	Total Monthly
October 31, 2011	\$ 5,000.00 ¹	\$ 19,800.00 ²	\$ 24,800.00
November 30, 2011	\$ 32,000.00 ¹	\$ 36,000.00 ²	\$ 68,000.00
December 31, 2011	\$ 33,500.00 ¹	\$ 65,000.00 ²	\$ 98,500.00
January 31, 2012	\$ 33,500.00 ¹	\$ 65,000.00 ²	\$ 98,500.00
February 29, 2012	\$ 33,500.00 ¹	\$ 65,000.00 ²	\$ 98,500.00
March 31, 2012	\$ 35,500.00 ¹	\$ 68,000.00 ²	\$ 103,500.00
April 30, 2012	\$ 16,500.00 ¹	\$ 62,000.00 ²	\$ 78,500.00
Totals	\$ 189,500.00	\$ 380,800.00	\$ 670,300.00

2H 2011
\$ 191,300.00

1H 2012
\$ 379,000.00

This billing schedule is for all work on the Data Demographics and IT Transformation Projects to be completed from October 17, 2011 through April 27, 2012.

State of Wisconsin, Employee Trust Funds	NVISIA, LLC
 DATE 10/25/2011	 DATE Oct 24, 2011
Robert J. Conlin Deputy Secretary	Dan Dexter CFO

Footnote Index	Description
1	Tied to BPS ETJ0018 Change Order #11 for Data Demographics project
2	Tied to BPS ETJ0018 Change Order #11 for IT Transformation project