New York State Office of Information Technology Services (NYS ITS)

Child Support Management System Legacy Rules Extraction
PBITS Mini-Bid #ITS-PBITS-2021-41SM

April 27, 2021 2:00 PM EST

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EXPERIENCE.INNOVATION.

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NYS OFFICE OF INFORMATION TECHNOLOGY SERVICES
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ALBANY, NY 12223

PBITS MINI-BID # ITS-PBITS-2021-41SM

CHILD SUPPORT MANAGEMENT SYSTEM LEGACY RULES EXTRACTION

ATTACHMENT 6 - CONTRACTOR RESPONSE FORM

Contractor: Please convert this executed document to PDF, attach the PDF with the Contractor's full submission, and e-mail before the Mini-Bid Deadline. The original hard copy should be sent via mail within two weeks from electronic submission.

The Contractor Submission must be fully and properly executed by an authorized person. By signing you certify your express authority to sign on behalf of yourself, your company, or other entity and full knowledge and acceptance of this Mini-Bid (including any Questions/Answers or addendums), the OGS Centralized Contract and that all information provided is complete, true and accurate.

(Where Procurement Lobbying Law is applicable, by signing, Contractor affirms that it understands and agrees to comply with New York State procedures relative to permissible contacts. Information may be accessed at: Procurement Lobbying: http://www.ogs.ny.gov/aboutOgs/regulations/defaultAdvisoryCouncil.html)

The Office of Information Technology Services (ITS) will not be held liable for any cost incurred by the Contractor for work performed in the preparation of a response to this Mini-Bid or for any work performed prior to the formal execution of an Agreement. Responses to the Mini-Bid must be received as specified in Key Dates and Events. Contractor assumes all risks for timely, properly submitted deliveries of this Mini-Bid response. A Contractor is strongly encouraged to arrange for delivery of Mini-Bid responses prior to the date of the bid opening. LATE MINI-BID RESPONSES may be rejected. The received time of Mini-Bid responses will be determined by the clock at the Authorized User's location.

Contractor's Federal Tax Identification Number	Contractor's NYS Vendor Identification Number
20-2902922	1000016650
Legal Business Name of Company Responding (must match the OGS Centralized Contract): GCOM Software LLC	
D/B/A – Doing Business As (if applicable):	
OGS Centralized Contract Number: PB090AA	
Contractor's Signature: Paul G. Murray Title: Chief Financial Officer	Printed or Typed Name: Paul G. Murray Date: 3-30-21
☐ CONTRACTOR DECLINES TO RESPOND TO THE MINI-BID for the following reasons:	
☑ Insurance Affirmation: All insurance forms, including Professional/Technology Errors and Omission and Crime Coverage have been provided to OGS and are up to date.	
☐ Additional Incentives	

NEW YORK STATE OF OPPORTUNITY | Office of Information Technology Services

INDIVIDUAL, CORPORATION, PARTNERSHIP OR LLC ACKNOWLEDGEMENT

STATE OF Maryland }
COUNTY OF Howard } SS.:

On the 30th day of March in the year 2021, before me personally appeared Paul G. Murray known to me to be the person who executed the foregoing instrument, who, being duly sworn by me did depose and say that _he maintains an office at GCOM Software and further that:

[Check One]

- ☐ **If an individual):** __he executed the foregoing instrument in his/her name and on his/her own behalf.
- ☐ **If a corporation):** __he is the ______________ of ______________, the corporation described in said instrument; that, by authority of the Board of Directors of said corporation, __he is authorized to execute the foregoing instrument on behalf of the corporation for purposes set forth therein; and that, pursuant to that authority, __he executed the foregoing instrument in the name of and on behalf of said corporation as the act and deed of said corporation.
- ☐ **If a partnership):** __he is the ______________ of ______________, the partnership described in said instrument; that, by the terms of said partnership, _he is authorized to execute the foregoing instrument on behalf of the partnership for purposes set forth therein; and that, pursuant to that authority, _he executed the foregoing instrument in the name of and on behalf of said partnership as the act and deed of said partnership.
- ☑ **If a limited liability company):** __he is a duly authorized member of GCOM Software LLC, the limited liability company described in said instrument; that _he is authorized to execute the foregoing instrument on behalf of the limited liability company for purposes set forth therein; and that, pursuant to that authority, _he executed the foregoing instrument in the name of and on behalf of said limited liability company as the act and deed of said limited liability company.

Notary Public
Registration No.

JACQUELINE BLANK
Notary Public-Maryland
Howard County
My Commission Expires
August 28, 2021

Section A: Experience and Qualifications

A1. Executive Summary

Provide a succinct executive summary describing the Bidder's primary business focus and highlighting significant features of the Bidder's response. This section must include the Bidder's background in providing the resources and services described in this Mini-Bid and your ability to provide such services as described in Section 3 (Detailed Project Scope). This section must succinctly highlight significant aspects of the technical proposal.

A1.1 Our Understanding

WE KNOW EVOLVEWARE

GCOM is currently using ***EvolveWare's Intellisys Tool*** on the New York State Fair Hearings (FHIS), Benefits Issuance and Control System (BICS), and Lottery Rules Extraction Projects.

As New York State continues along its path to modernize its Health and Human services systems, legacy business rules extraction has become a staple. Extracting, analyzing, and transforming legacy system logic into more manageable business rules is a true iterative step in modernization. This work results in a quick win on a roadmap that may span years, and the outcome is an input into determining whether the modernization will be satisfied by custom-built solutions, COTS products, or a combination thereof. ITS seeks a firm that views this initiative as a true partnership. As your partner, GCOM Software LLC (GCOM) adopts and embraces the goals and outcomes measurements as our own, ensuring a consistent definition of success.

In 2020, our country experienced a nationwide pandemic, forcing service delivery to reinvent itself. Brick-and-mortar offices stood empty as the workforce retreated to safer shelter at home. States faced an accelerated timeline to arm employees with the tools and technology to continue to delivery critical benefits and services from remote locations. Inequity of healthcare became a daily discussion, and states launched new efforts to examine and begin to close the gaps. The COVID-19 pandemic has exposed aging, inflexible computer systems that suffer from a shortage of experts to operate and maintain them.

As states explore modernizing their large, siloed systems, the clean-up of critical business rules becomes as important as the technology chosen for the next generation of these vital systems. Over the years, individual mainframe applications have grown to hundreds of thousands of lines of source code. Evaluating program logic to identify the correct or desired business logic is further complicated by many systems being "transfer systems" from other states. System and user documentation have become outdated and even obsolete due to of retirements, staff attrition, vendor turnover and shrinking budgets. The cost to maintain legacy systems has become untenable.

The New York State Office of Information Technology Services (ITS) seeks a vendor to extract, analyze, and repurpose the existing business rules for consideration in future modernization phases. The successful partner will analyze and document current system source code and system documentation for the Child Support Management System (CSMS), including subsystems, in support of the Integrated Eligibility (IES) System Program. This "AS-IS" system documentation (e.g., business rules, process flows) will be reviewed, validated, and approved by Subject Matter Experts (SMEs) and will be used as input into the larger IES Program to develop and implement the next generation of eligibility systems.

GCOM's proposal presents the following significant features:

- ***Experience with Rules Extraction***. Our key staff alone have **over 75 years** of combined experience working on Rules Extraction Projects, with nearly half of those years spent directly on Child Support Legacy Rules

Extraction Projects. GCOM's solution is bolstered by our direct experience supporting the ITS on the Benefits Issuance and Control System (BICS) and the Fair Hearings Information System (FHIS) Rules Extraction projects – a unique differentiator that only we possess. Through these projects, our team has gained invaluable experience that we are eager to apply on the Child Support Legacy Rules Extraction Project.

- ***Knowledge of EvolveWare's Intellisys Tool***. The GCOM team has extensive experience utilizing EvolveWare's Intellisys Tool. Our key personnel, including our Project Manager, have been directly trained by EvolveWare Specialists and regularly use the Intellisys Tool on Legacy Rule Extraction Projects. The ITS can rest assured that GCOM has more than a working knowledge of Intellisys and is perfectly positioned to apply that expertise to ensure best practices, avoid rework – ultimately resulting in significant time and cost savings.

- ***Child Support Subject Matter Expert.*** GCOM's Key Analyst, Sandra Adams, has spent **30+ years** working directly as a Child Support Business Analyst on several child support systems nationwide. Backed by decades of proven business analysis and child support program experience, Ms. Adams brings a depth of knowledge to ensure our Project Team understands the meaning of the child support business rules.

[redacted]

GCOM is NYS' most trusted vendor on Rules Extraction Projects. We are the prime contractor performing the BICS and FHIS Rules Extraction Projects -- contracts nearly identical in size, scope, and complexity to CSMS. GCOM was also recently awarded the NYS Gaming Commission's Lottery Information System (LIS) Legacy Rules Extraction Project. From our current engagements with BICS and FHIS, GCOM has garnered invaluable experience overcoming the challenges of deciphering hundreds of thousands of lines of legacy source code to find meaningful, critical business rules. Leveraging this critical experience, we are proposing a team whose skills include deep rules extraction experience, EvolveWare technology experience, and Child Support Subject Matter Expertise to successfully decipher and extract the CSMS business rules. Our experience supporting the NYS ITS gives our team a high level of confidence in our estimations, due directly to our recent experience with FHIS and BICS.

Figure 1 provides a high-level overview of GCOM's approach to complete the CSMS project, which has been informed by our experience on FHIS and BICS. Section B: Project Approach, Work Plan, and Timeline describes in detail each phase of the work.

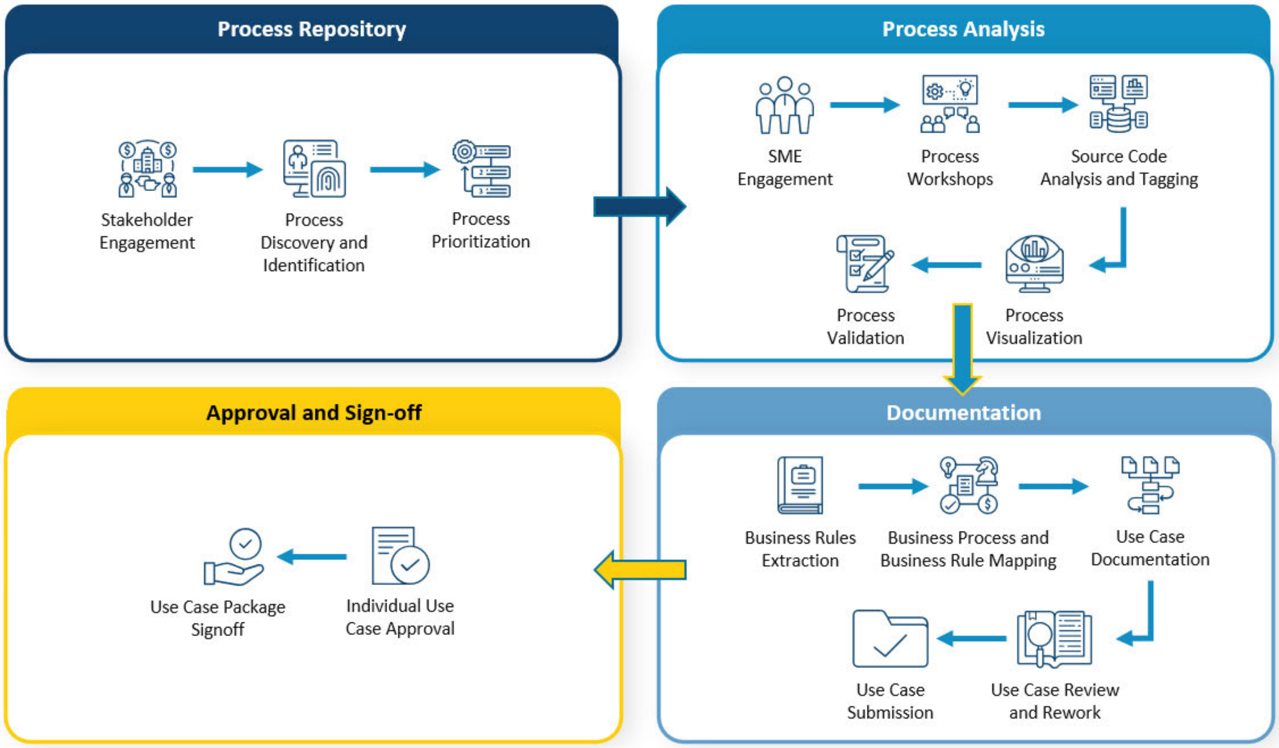

Figure 1 GCOM's understanding of the "AS-IS" Analysis and Business Rules Extraction for legacy CSMS

GCOM's proposal is based on the following assumptions.

[redacted]

[redacted]

A1.2 Our Technical Approach and Timeline to Meeting Your Requirements

When starting work that is without precedent, such as Business Rules Extraction projects, a vendor or customer cannot rely on our past experience to understand the accuracy of estimates or how project risks and issues were resolved. Everything is a new experience. GCOM acknowledges that we experienced a significant learning curve on both Fair Hearings and BICS. Working closely together with IES has helped GCOM correct these missteps and today, BICS is on schedule. This is a hard-won victory, one which – ironically – positions GCOM as the best valued partner for this engagement.

GCOM is the bidder that knows the most about using Intellisys in the IES environment. We have worked alongside IES and developed an understanding of how to best deliver Use Cases that meet and exceed the State's expectations. Recently, we presented a new and streamlined tool for IES to follow progress at a glance. GCOM has worked with IES to map Use Case deliverables with the many programs in BICS. Further, GCOM has honed our work methodology into a reliable, repeatable process that has improved throughput and accuracy.

<u>Our proposal is built upon the following key lessons learned:</u>

Past Experience. Our NYS ITS legacy system rules extraction experience on FHIS and BICS qualifies GCOM to support ITS and New York Child Support Program. Also, GCOM understands that our experience is based on our learning curve with the complexity of the FHIS and BICS projects. Our capabilities with Intellisys and Business Rules Extraction have positioned GCOM to be the best value to the State.

Tighter Level of Effort (LOE). GCOM's level of effort is based on three major factors:

1. Experience gained from our work on the Fair Hearings and BICS projects
2. Our working relationship with EvolveWare, who has joined our BICS and Child Support teams
3. Industry best practices for legacy system business rules extraction

Our LOE is based on the throughput of 2.5 million lines of code (as defined in ***Section 3.1 Project Scope*** of the ITS-PBITS-2021-41SM mini-bid). Having developed a close working relationship with EvolveWare staff, GCOM is pleased to include their staff as part of our team. In addition to working on assigned tasks, EvolveWare staff will keep our team cross-trained and up to date on Intellisys.

To maintain the project schedule, GCOM will submit Use Case deliverables every month as stated within the Delivery Management Plan (DMP). Our schedule reflects that NYS ITS will take 10 business days to review and approve the use case deliverables. If findings are identified, we will follow our agreed-upon process to address and resolve.

The GCOM project plan results in completion and approval of all business function use cases within the contract term. In the first 10 business days of the project, GCOM and IES Project Managers will collaborate to conduct a project kickoff meeting, finalize the Microsoft Project Schedule, and document the DMP. GCOM will submit the Schedule and DMP for review and approval.

Figure 2 is a high-level view of our project plan. Please note that there are tasks that will take place once the contract has been awarded; this is reflected in 1.1 Task 1 – Project Initiation, Planning, and Administration.

Task Name	Duration	Start	Finish
1 Child Support Legacy BRE	296 days	Mon 5/3/21	Wed 7/6/22
1.1 Task 1 - Project Initiation, Planning & Administration	22.13 days	Mon 5/3/21	Thu 6/3/21
1.1.1 Pre Contract Start	5 days	Mon 5/24/21	Fri 5/28/21
1.1.2 Kick Off Project	1.13 days	Tue 6/1/21	Wed 6/2/21
1.1.3 Onboarding GCOM Resources - After Project Award	20 days	Mon 5/3/21	Fri 5/28/21
1.1.4 Evolveware Initialization	2.13 days	Tue 6/1/21	Thu 6/3/21
1.2 Task 2 - EvolveWare Intellisys	5 days	Tue 6/1/21	Mon 6/7/21
1.2.1 Extract Metadata	3 days	Tue 6/1/21	Thu 6/3/21
1.2.2 Intellisys Repository Ready	2 days	Fri 6/4/21	Mon 6/7/21
1.3 Task 3 - Deliverable 1 - Microsoft Project Schedule	26 days	Tue 6/1/21	Thu 7/8/21
1.4 Task 4 - Deliverable 2 - Deliverable Management Plan (DMP)	26 days	Tue 6/1/21	Wed 7/7/21
1.5 Task 5 - Business Deliverables	225 days	Tue 6/8/21	Fri 4/29/22
1.5.1 Sprints and Resources	225 days	Tue 6/8/21	Fri 4/29/22
1.5.1.1 Team 1	225 days	Tue 6/8/21	Fri 4/29/22
1.5.1.2 Team 2	225 days	Tue 6/8/21	Fri 4/29/22
1.5.1.3 Team 3	225 days	Tue 6/8/21	Fri 4/29/22
1.5.1.4 Team 4	225 days	Tue 6/8/21	Fri 4/29/22
1.5.1.5 Team 5	225 days	Tue 6/8/21	Fri 4/29/22
1.5.1.6 Team 6	225 days	Tue 6/8/21	Fri 4/29/22
1.5.1.7 Team 7	225 days	Tue 6/8/21	Fri 4/29/22
1.5.1.8 Team 8	225 days	Tue 6/8/21	Fri 4/29/22
1.5.1.9 Team 9	225 days	Tue 6/8/21	Fri 4/29/22

1.5.2 Use Cases	180 days	Tue 8/10/21	Fri 4/29/22
1.5.2.1 5.1 Deliverable 3 - Asset Batch - Complete	0 days	Tue 8/10/21	Tue 8/10/21
1.5.2.2 5.2 Deliverable 4 - Asset ACCTING - Complete	0 days	Tue 8/31/21	Tue 8/31/21
1.5.2.3 5.3 Deliverable 5 - Batch ADMIN - Complete	0 days	Wed 9/22/21	Wed 9/22/21
1.5.2.4 5.4 Deliverable 6 - Batch ENFORCMNT - Complete	0 days	Thu 10/14/21	Thu 10/14/21
1.5.2.5 5.5 Deliverable 7 - Batch INTERFACE - Complete	0 days	Thu 11/4/21	Thu 11/4/21
1.5.2.6 5.6 Deliverable 8 - Batch REPORTING - Complete	0 days	Mon 11/29/21	Mon 11/29/21
1.5.2.7 5.7 Deliverable 9 - Batch SUPPORT - Complete	0 days	Mon 11/29/21	Mon 11/29/21
1.5.2.8 5.8 Deliverable 10 - Command PROCS - Complete	0 days	Mon 12/20/21	Mon 12/20/21
1.5.2.9 5.9 Deliverable 11 - Online ADMIN - Complete	0 days	Wed 1/12/22	Wed 1/12/22
1.5.2.10 5.10 Deliverable 12 - Online ACCT MGMT - Complete	0 days	Thu 2/3/22	Thu 2/3/22
1.5.2.11 5.11 Deliverable 13 - Unline CASE MGMT - Complete	0 days	Fri 2/25/22	Fri 2/25/22
1.5.2.12 5.12 Deliverable 14 - PURGES - Complete	0 days	Fri 2/25/22	Fri 2/25/22
1.5.2.13 5.13 Deliverable 15 - Tax OFFSET - Complete	0 days	Fri 3/18/22	Fri 3/18/22
1.5.2.14 5.14 Deliverable 16 - Unload RPTS - Complete	0 days	Fri 4/8/22	Fri 4/8/22
1.5.2.15 5.15 Deliverable 17 - IOLT - Complete	0 days	Fri 4/29/22	Fri 4/29/22
1.6 Task 6 - Final Sprint Document Packaging and Review	35 days	Mon 5/2/22	Mon 6/20/22
1.7 Task 7 - Close Project	11 days	Tue 6/21/22	Wed 7/6/22

Figure 2 Work packages (MS Project Summary Activities) described in our Project Plan

A1.3 Our Experience Planning Requirements Analysis for Legacy System Migrations

GCOM brings system planning and legacy code review experience from past engagements with New York Integrated Eligibility System (FHIS and BICS Legacy Rules Extraction Projects), New York State Education Department, and the New York State Division of Criminal Justice Services. GCOM also has performed legacy code reviews on engagements with the Florida Department of Law Enforcement and the Connecticut Department of Emergency Services and Public Protection.

GCOM submits our proposal with our NYS Minority-Owned Business Enterprise (MBE), Women-Owned Business Enterprise (WBE), and Service-Disabled Veteran-Owned Business (SDVOB) certified partners S2Tech, Nubes Opus, and ACS Consultancy; together, we are the GCOM team. Our team brings the following value proposition to the CSMS Legacy Rules Extraction project:

- A proven, local, technical team that has delivered results for New York State Modernization Projects since 2005

- Experience on BICS and FHIS using Intellisys to extract legacy code, accelerate code reviews, and develop Use Case documentation

- Key personnel (Project Manager (PM), Business Analyst (BA), Technical Lead, and Analyst) that combine deep Child Support Subject Matter Expertise with legacy system business rules extraction experience to deliver CSMS Legacy Rules Extraction during the proposed timeline.

GCOM brings system planning and legacy code review experience from past engagements with New York Integrated Eligibility System (FHIS and BICS Legacy Rules Extraction Projects), New York State Education Department, and the New York State Division of Criminal Justice Services. GCOM also has performed legacy code reviews on engagements with the Florida Department of Law Enforcement and the Connecticut Department of Emergency Services and Public Protection.

S2Tech brings resources with experience reviewing legacy source code for the South Dakota Integrated Eligibility System and Medical programs. They are also our partner at New York Integrated Eligibility System (FHIS Legacy Rules Extraction Project) and the BICS Legacy Rules Extraction Project. S2Tech's experience includes support of the modernization of the South Dakota and NYS IES systems. S2Tech is a NYS MBE.

Nubes Opus brings expertise with modernizing, automating, and migrating existing applications to provide a streamlined, reliable experience for clients. Nubes Opus is a professional services company providing custom computer programming, architecture, design, development, testing, release, migration, cost, and performance optimization of solutions using infrastructure as a service (IASS), platform as a service (PAAS), and software as a service (SAAS). Nubes Opus has partnered with GCOM to perform on both the BICS and NYS Department of Motor Vehicles (DMV) Legacy Rules Extraction Projects. Nubes Opus is a NYS SDVOB.

ACS Consultancy Services, Inc. (ACS) brings IT and Children and Family Services experience as well as staffing, development, design, and implementation services. ACS boasts a robust team of PMP-, ITIL-, Scrum-, IOT-, and Amazon Web Services (AWS)-Certified IT professionals. ACS is a NYS MWBE.

A1.4 Our Proven, Experienced Key Staff

[redacted]

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A1.5 Our commitment to New York State and the IES Program

GCOM is deeply committed to New York State and the Capital Region. Founded in 2005, we have grown into a $150 Million company, with offices in Albany, New York City, Maryland, and Florida. Our New York State Capital Region workforce includes over 200 business and technical resources. We remain proud and committed partners with NYS including supporting large and complex modernization projects for NYS and the IES Program (BICS and FHIS), the NYS Department of Health, the NYS Education Department Office of Special Education and Office of Education Finance, and the NYS Division of Criminal Justice. Today, GCOM provides 14 resources to IES, and we have three awarded positions pending Comptroller approval.

The CSMS Legacy Rules Extraction project is one of the most important projects in the IES Program. As demonstrated throughout the remainder of our proposal, we are committed to providing a predictable project delivery experience staffed with resources with the right mix of legacy technology skills, subject matter domain knowledge and system planning experience. We will deliver high-quality Use Cases that contribute to the successful design of the new Child Support Management System, on time and within the agreed-upon budget.

A2. Company Background:

Bidders must have significant experience in providing the services as described in Section 3 (Detailed Project Scope). Bidders must demonstrate relevant experience and qualifications by addressing the following:

- *An overview of the Bidder's organization and experience relevant to the scope of this project.*
- *A detailed description of the Bidder's technical expertise and capabilities. This narrative must highlight the Bidder's ability to provide the services needed by ITS, including the number of years you have been providing these services.*
- *A description the Bidder's experience in performing mainframe system rules extraction including the project size (number of lines of code).*
- *List projects here to outline similarity to scope and activities in Section 3 (Detailed Project Scope).*

In this section, GCOM provides our corporate background, relevant experience, and capabilities to be your business rule extraction partner on the ITS Child Support Management System Legacy Rules Extraction project.

A2.1 Meet the GCOM Team

An overview of the Bidder's organization and experience relevant to the scope of this project.

Since 2005, GCOM has specialized in the design, implementation, and support of digital workspaces, application modernizations, and modern data centers. We maintain strategic client account teams in New York State, New

York City, Florida, and Maryland. GCOM currently operates in **22 states**, and we are the nation's largest provider of Women, Infants, and Children (WIC) systems. Across the country, our customers are comprised of departments and agencies that serve approximately 70% of our nation's population.

In New York State, GCOM has supported large and complex modernization projects for the Department of Health (DOH), Division of Criminal Justice (DCJS), and Department of Motor Vehicles (DMV). In Maryland, GCOM has supported the Department of Human Services (DHS), Maryland Department of Health (MDH), and Maryland Health Benefit Exchange (MHBE). In Florida, GCOM modernized and continues to support the Department of Law Enforcement's (FDLE) Computerized Criminal History System (CCH). GCOM is an industry leader in HHS legacy modernization delivering domain specialization in Health and Human Services, Regulatory Management, and Public Safety. GCOM's ability to scale to support large, complex projects, combined with the agility and accessibility of a boutique solutions provider provides state and local government leaders the right-sized partner to help modernize operations and optimize digital engagement.

[redacted]

S2Tech will provide consulting and rules extraction resources. S2Tech is a New York State Minority Business Enterprise. Over the past 22 years, S2Tech has developed a strong reputation for providing specialized IT and Business services to both government and private customers, especially in Health and Human Services domains. They are also our partner at New York Integrated Eligibility System (FHIS Legacy Rules Extraction Project) and supported the BICS Legacy Rules Extraction Project. In their 22 years of experience, S2Tech has provided services for state government programs in 35 states. S2Tech provides Integration, Staff Augmentation, and Quality Assurance services as well as System Support services. S2Tech recently completed a large legacy rules extraction project for the South Dakota Integrated Eligibility System analyzing the business rules for the TANF, SNAP, IEVS, and SVES programs.

Nubes Opus will provide consulting and rules extraction resources. Nubes Opus is a professional services company providing custom computer programming, architecture, design, development, testing, release, migration, cost, and performance optimization of solutions using infrastructure as a service (IASS), platform as a service (PAAS), and software as a service (SAAS). Nubes Opus has partnered with GCOM to perform on both the BICS and NYS DMV Legacy Rules Extraction Projects. Nubes Opus is a NYS SDVOB.

ACS Consultancy Services, Inc. (ACS) will provide consulting and rules extraction resources. ACS is a professional services company providing staffing, development, design, and implementation services. ACS boasts a robust team of PMP-, ITIL-, Scrum-, IOT-, and Amazon Web Services (AWS)-Certified IT professionals. ACS is a NYS MWBE.

A2.2 The GCOM Team's Technical Expertise and Capabilities Make Us Your Preferred CSMS Rule Extraction Partner

A detailed description of the Bidder's technical expertise and capabilities. This narrative must highlight the Bidder's ability to provide the services needed by ITS, including the number of years you have been providing these services.

The GCOM Team brings decades of combined proven technical expertise, capabilities, and tools modernizing legacy mainframe applications. Section A2.2 describes how GCOM is ITS' preferred CSMS Rules Extraction partner.

A2.2.1 GCOM Software Relevant Experience and Capabilities

RELEVANT PROJECTS

GCOM has been awarded both the LIS and BICS Business Rules Extraction projects, both of which are off to a strong start.

GCOM specializes in building, integrating, maintaining, and operating systems for state and local government clients in 22 states. This experience includes support of multiple digital transformation initiatives, application production support maintenance engagements, and production hosting infrastructure engagements. Within this experience, GCOM has supported both 1) production operations and application maintenance of legacy mainframe applications, and 2) multi-year application modernizations initiatives that result in the migration of legacy mainframe applications to modern services oriented, and more recently, micro-services-oriented system architectures. Highlights of our relevant experience related to system planning, requirements analysis, business rule extraction and Use Case development is summarized in **Table 1** below:

Table 1 Highlights of GCOM relevant experience related to requirements analysis, business rule extraction and Use Case development

Client/Project	Period of Performance / Years	Relevant Engagement Scope and Results Delivered
New York State Integrated Eligibility System (IES) **Fair Hearings Information System (FHIS) Rules Extraction Project** **Contract Value: $ 1,213,469**	March 2020 – Present Current Status: In Progress	GCOM is working with S2Tech to analyze and document the current system source code and system documentation in support of the IES Program so that "As Is" system documentation (e.g., business rules, process flows) can be reviewed, validated, and approved by SMEs. The "AS-IS" system documentation will be used as input into the larger IES Program to develop and implement the Fair Hearings Module which will incorporate current FHIS functionality.
New York State Education Department (NYSED) **Education Finance Analysis Design Project (Closing Phase)** **$1,211,560** **18 months total project duration**	July 2018 – Dec. 2019 1.8 Years	The Education Finance Modernization is a large-scale initiative. Phase 1 of this initiative was a modernization effort. Phase 1 aimed for the delivery of detailed existing system analysis documentation, 'To Be' requirements artifacts for a future Education Finance System with business process improvement recommendations, and multiple enterprise and application architecture solution options with detailed strategy and cost estimates for each option. Phase 1 ensured that the process of modernizing the Education Finance System began with a future vision of a new system. The new system uses modern technologies and architectures to provide the sophisticated modeling, analysis, and reporting capabilities that education-finance professionals and policymakers require. GCOM performed "As Is" (current state) analysis, developed "To Be" (future state) requirements

Client/Project	Period of Performance / Years	Relevant Engagement Scope and Results Delivered
		documentation and design, provided enterprise architecture recommendation options, and created a roadmap for modernizing the State aid system and related components of the Education Finance System. The outcome of this work was requirements documentation, process models, recommended technical enterprise architecture(s), implementation strategy and roadmap, retirement strategy for legacy mainframe components including data migration strategies. A roadmap that included cost estimates for components of modernized system and project timelines for Phase 2 implementation of the proposed solution was also an outcome of Phase 1 of this project.
New York State Education Department (NYSED) **Office of Special Education System Analysis and Design** **$466,820** **8 months**	March. 2018 – Oct. 2018 8 Months	Through several program offices, NYSED collects extensive student related and cost data directly from placing school districts, special education providers, and municipalities. Although NYSED has various data systems, they were not consolidated or coordinated into one database that could be shared among the multiple program offices which have oversight responsibilities. A significant amount of information and essential data was collected and stored in paper form and was not available electronically. As a result, data was not readily or easily accessible internally to staff nor was there a platform to publicly report educational and cost data for the benefit of external stakeholders. GCOM was awarded Phase I of this project, which included delivering (1) requirements gathering and systems analysis, (2) business process re-engineering, (3) user experience design and prototyping, (4) architecture solution options, and (5) a detailed plan for Phase II with implementation strategy, cost estimates and timelines. GCOM worked with NYSED to advance the availability and accessibility of approved special education provider data to improve its oversight functions and better inform parents, students, school districts, municipalities, and other governmental agencies regarding the preschool and school-age special education services offered throughout the State. GCOM successfully completed this project in October of 2018 for the NYSED Office of Special Education.
New York State Division of Criminal Justice (NYS DCJS)	Dec. 2009 – March 2014 5 Years	NYS DCJS was planning to migrate their applications from Forte and Mainframe applications to Java / JEE based applications.

Client/Project	Period of Performance / Years	Relevant Engagement Scope and Results Delivered
Modernization Initiatives (F2J and Legacy Renewal)		GCOM worked with DCJS business teams as well as the technical team from DCJS to develop technical platforms and to transform current Forte and Mainframe COBOL applications. The goal was to develop a technical platform, i.e., eJusticeNY using Java / JEE and IBM technology stack and then modernize the existing applications to deploy on this platform. GCOM worked with various law enforcement agencies like NYS DCJS, NYS Police, NYS DOCCS, and Homeland Security, etc. to transform their existing, as well as new applications, to the new platform. Even though NYS DCJS decided to use an iterative methodology to develop applications and conduct requirements through JAD sessions, many of the SMEs were busy with day-to-day activities. Sometimes, it was required to validate the business rules with SMEs to make sure that valid requirements were captured. The requirements were documented in the "To Be" Use Cases and were reviewed and approved by SMEs. The requirements were also captured in IBM Rational ReqPro to capture the Requirement Traceability Matrix (RTM). As part of the Forte migration, GCOM Programmer Analysts worked with Forte Source code to understand the business rules. There were at least 20 modules and each module had thousands of lines of code. The approach to the DCJS modernization was similar to the current RFP requirement: where legacy source code was used to validate the requirements and make sure no requirements were missed. The second migration for this project was from Unisys Mainframe COBOL. GCOM worked with COBOL Programmers and DCJS SMEs to document Use Cases. The approach was similar to the Forte migration: validate the requirements against legacy systems to make sure all valid requirements were captured and verified. The scope of work for the second migration was similar to this RFP. The requirements gathering was performed at various stages of the application development lifecycle. The overall duration was close to two years (requirements gathering for various modules).

Client/Project	Period of Performance / Years	Relevant Engagement Scope and Results Delivered
Florida Department of Law Enforcement (FDLE) Computerized Criminal History System (CCH)	Oct. 2015 – June 2023 8 Years (5 Years of Post-Prod. Support)	FDLE's project modernized its 40-year Unisys mainframe-based CCH system to meet the ever-changing needs of the State of Florida. Florida selected GCOM to build the system based on our experience implementing similar systems for other states including New York. With high-level requirements documented in the RFP and SMEs available to provide business rules, FDLE decided to validate the requirements for some of the core modules against the existing COBOL system and DMS II databases due to the complexity of the system. GCOM BAs worked with the FDLE COBOL Programmer to understand rules and extract business rules from the source code to ensure that all requirements were covered in the system Use Cases and the new system requirements were complete. The requirements extracted from the COBOL programs were documented in FDLE JIRA and captured as part of the Requirement Traceability Matrix (RTM). The overall duration of the requirements gathering phase was approximately eight months. GCOM successfully implemented the CCH system for FDLE on-time and within budget. GCOM continues to maintain and support this system today.
Connecticut Department of Emergency Services and Public Protection (CT DESPP) Computerized Criminal History (CCH) Master Name Index (MNI) Modernization	Feb. 2019 – Nov. 2020 1.8 Years	To protect and serve the public by leveraging the latest forensic investigation technology, the CT DESPP wanted to replace the state's current legacy CCH database with the latest CCH cloud technology. The MNI-CCH Modernization Project's goal is to streamline and automate criminal record maintenance, automate arrest and disposition linkage, and modernize interfaces with external systems, provide workflow tracking and reporting, transaction auditing. The current system is a MF COBOL and DB2 database. GCOM is conducting JAD sessions with client SMEs to develop the "To Be" Use Cases. As part of the Use Case development process, GCOM Programmer Analysts and client SMEs are manually analyzing the COBOL source code to capture all of the required business rules in the new Use Cases. GCOM spent a total of 11 months on requirements gathering. GCOM is responsible for documenting Use Cases and building requirement traceability matrix.

GCOM brings proven experience and capabilities of the software design, development, and implementation lifecycle from multiple digital transformation engagements. In addition, we bring the pre-requisite system planning, requirements analysis, and technical code review capabilities needed for this engagement. We have experience producing Use Cases for IES and therefore, know the breadth and depth of the CSMS Use Cases required to inform downstream ITS design and development activities. Our CSMS Use Cases will include entry and exit criteria, primary and alternate flows by actors (users and system roles), as well as the business rule criteria impacting each step of the primary alternate flows, which will be inputs to future modernization investments.

A2.2.2 Subcontractor Experience and Capabilities

Since 1997, S2Tech has provided IT and business-related services to government and commercial sectors throughout the United States. During this period, S2Tech has served 36 states providing support on more than 135 projects. To obtain information on customers' satisfaction, S2Tech conducts client surveys on an annual basis – annual surveys that have consistently resulted in high-end scores and complementary feedback attesting both the quality and value of service that S2Tech brings to their customers.

Prior to working on the FHIS and BICS projects as a subcontractor to GCOM, S2Tech contracted with the State of South Dakota to support an Eligibility System rules analysis project. S2Tech resources worked closely with State resources supporting various project activities such as code analysis, discrepancy resolution, and creation of project deliverables. The entire 'AS-IS' system flow was documented and accepted as a series of deliverables by the State. S2Tech stands ready to bring the same quality of resources to this project. In partnership with GCOM, S2Tech took proactive steps in getting resources certified on the EvolveWare Intellisys tool and stand ready to support the CSMS project with GCOM.

Nubes Opus has performed on various Legacy Rules Extraction Projects, specifically the BICS Legacy Rules Extraction Project as GCOM's teaming partner and previously partnered with GCOM on the NYS DMV Legacy Rules Extraction Project.

ACS excels in providing custom integrations with existing systems for a modernized, secure technical solution. ACS bring years of team experience performing on Legacy Rules Extraction Projects, systems integrations, design and implementation, and IT staffing services.

A2.3 Our specific experience performing mainframe system rule extraction and modernization projects.

A description the Bidder's experience in performing mainframe system rules extraction including the project size (number of lines of code).

In **Table 2**, we summarize the project size of each of the referenced projects.

Table 2 Project size of each referenced project above

Project	Team Member	Technology	Lines of Code (scanned)
New York State Integrated Eligibility System	GCOM	[redacted]	
New York State Education Department Office of Special	GCOM		

Project	Team Member	Technology	Lines of Code (scanned)
Education and Office of Education Finance			
New York State Division of Criminal Justice	GCOM	[redacted]	[redacted]
Florida Department of Law Enforcement Computerized Criminal History System	GCOM	[redacted]	[redacted]
Connecticut CCH	GCOM	[redacted]	[redacted]
South Dakota IES Modernization Initiative (TANF, SNAP, IEVS, SVES, and Medical)	S2Tech	[redacted]	[redacted]

As demonstrated in **Table 2**, GCOM has supported system code analysis and documentation initiatives for millions of lines of code. We have ample experience providing services similar to those requested in this RFP, and therefore, we make an ideal partner for the IES CSMS Program and ITS.

A2.4 The GCOM Team relevant project experience

List projects here to outline similarity to scope and activities in Section 3 (Detailed Project Scope).

In section A2.3 above, we have listed projects performed by GCOM that are similar to the CSMS Legacy Rules Extraction Project Detailed Project Scope.

In **Table 3** we have included a table which highlights these reference projects GCOM has completed where we performed rules extraction. GCOM brings the experience, capabilities, tools, proven key staff and proven results to be the best value to the State.

Table 3 GCOM's referenced projects and their similarities to Child Support

Client Engagement Duration	Brief Description	Functional System Analysis	Technical Code Analysis and Rules Extraction	BPR/Workflows	Design and Architecture
New York State Integrated	Period of Performance: March 2020 to Current Current Status: In Progress Contract Value: $1,213,469	✓	✓	✓	

Client Engagement Duration	Brief Description	Functional System Analysis	Technical Code Analysis and Rules Extraction	BPR/Workflows	Design and Architecture
Eligibility System (IES) Fair Hearings Information System (FHIS) Rules Extraction Project 9 months total project duration	Relevant Scope: GCOM is analyzing and documenting the current system source code and system documentation in support of the Integrated Eligibility System (IES) Program so that "As Is" system documentation (e.g., business rules, process flows) can be reviewed, validated and approved by SMEs. The " AS-IS" system documentation will be used as input into the larger IES Program to develop and implement the Fair Hearings Module which will incorporate current Fair Hearings Information System (FHIS) functionality.				
New York State Education Department (NYSED) Education Finance Analysis and Design Project 18 months total project duration	Period of Performance: July 2018 to Dec 2019 (18 Months) Current Status: Complete Contract Value: $1,211,560 Relevant Scope: GCOM performed “As Is” (current state) analysis, developed “To Be” (future state) requirements documentation and design, provided enterprise architecture recommendation options, and created a roadmap for modernizing the State aid system and related components of the Education Finance System. The outcome of this work was requirements documentation, process models, recommended technical enterprise architecture(s), implementation strategy and roadmap, retirement strategy for legacy mainframe components including data migration strategies. A roadmap that included cost estimates for components of modernized system and project timelines for Phase 2 implementation of the proposed solution was also an outcome of Phase 1 of this project.	✓	✓	✓	✓*
New York State Education Department Office of Special Education System Analysis and Design	Period of Performance: March 2018 to Oct. 2018 (8 Months) Current Status: Complete Contract Value: $466,820 Relevant Scope: GCOM PM, BAs, and Technical Architect were responsible for delivering (1) requirements gathering and systems analysis, (2) business process re-engineering, (3) user experience design and prototyping, (4) architecture solution options, and (5) a detailed plan for Phase II with implementation strategy, cost estimates and timelines. GCOM worked with SED to advance the availability and accessibility of approved special education provider data to improve its oversight functions and better	✓	✓	✓	✓*

Client Engagement Duration	Brief Description	Functional System Analysis	Technical Code Analysis and Rules Extraction	BPR/Workflows	Design and Architecture
	inform parents, students, school districts, municipalities, and other governmental agencies regarding the preschool and school-age special education services offered throughout the State.				
New York State Division of Criminal Justice Modernization Initiatives (F2J and Legacy Renewal)	Period of Performance: Dec. 2009 – March 2014 (5 Years) Current Status: Complete Contract Value: $30,000,000 Relevant Scope: GCOM Programmer Analysts worked with Forte Source code to understand the business rules. There were at least 20 modules and each module had thousands of lines of code. LIS Legacy Rules Extraction Key Staff: NA	✓	✓	✓	✓
Florida Department of Law Enforcement Computerized Criminal History System	Period of Performance: Oct. 2015 to June 2023 (8 Years) Current Status: Implementation Complete (5 Years Support) Contract Value: $13,851,187 Relevant Scope: GCOM BAs worked with the FDLE COBOL Programmer to understand those rules and sometimes extracted the business rules from the source code. The requirements from the COBOL programs were documented in FDLE JIRA and captured as part of the Requirement Traceability Matrix (RTM).	✓	✓	✓	✓
Connecticut CCH	Period of Performance: Feb. 2019 to Nov. 2020 (8 Months) Current Status: Ongoing Contract Value: $7,221,640 Relevant Scope: As part of a comprehensive strategy to modernize its criminal identification and disposition history databases, CRRMS provides an NFF-compliant criminal history system to replace the current legacy criminal history system. The purpose of the MNI-CCH Modernization Project is to streamline and automate criminal record maintenance, automate arrest and disposition linkage, automate receipt and typical processing of civil requests for criminal history checks, modernize interfaces with external systems, provide workflow tracking and reporting, transaction auditing, and position the agency to become NFF compliant.	✓	✓	✓	✓
South Dakota IES Modernization Initiative	Period of Performance: Feb. 2015 to Aug. 2017 (2 Years) Current Status: Complete Contract Value: $200,000 Relevant Scope: S2Tech conducted analysis and research against the code base of the South Dakota legacy eligibility	✓	✓		✓

Client Engagement Duration	Brief Description	Functional System Analysis	Technical Code Analysis and Rules Extraction	BPR/Workflows	Design and Architecture
	system to document business rules / requirements of the State's Eligibility System.				

*High Level

Section B: Project Approach, Work Plan and Timeline

The purpose of this section is for the Bidder to describe how the Bidder proposes to complete the scope of work and deliverables in this Mini-Bid and the necessary timeline for completion of such work.

B1 Project Technical Approach

Project Technical Approach - *Identify how the scope would be addressed and include a detailed breakdown of the individual requirements, including:*

- *The Bidder's approach in executing the project and achieving all required deliverables included in Section 3.5 Project Deliverables.*
- *How the Bidder's COBOL Mainframe Rules Extraction experience, practices, and procedures will ensure a successful project.*
- *How the Bidder will perform the rules extraction from the entire CSMS (Child Support Management System), subsystems, and applications legacy rules. How the bidder plans to use the State-prescribed tool (Evolveware) and the number of person months being provided (88).*
- *That the Bidder understands the scope of work to be performed.*
  - *Notes:*
    - *To the extent that the Bidder intends to utilize the services of a subcontractor(s), the Bidder should detail the subcontractor's role and responsibilities under this project.*
    - *Bidders with experience using the State-defined software tool, Evolveware, or equivalent type of software, may be scored more favorably. This includes experience of team members with the tool.*

B1.1 Our Technical Approach & Rule Extraction Methodology

How the Bidder's COBOL Mainframe Rules Extraction experience, practices, and procedures will ensure a successful project. If a tool is being proposed as part of the solution, experience with the tool must be included in the proposal. If a tool is proposed, the Bidder will describe how the tool improves the overall process.

The GCOM Team has reviewed the requirements and objectives of the Child Support Legacy Rules Extraction project and is prepared to leverage our years of experience to continue to support the NYS ITS. To accomplish this work, GCOM will use the state-provided product, Intellisys, with which we have experience from our FHIS, BICS, and Lottery projects.

To manage our schedule, resources, and work assignments, GCOM's PM will use industry best practices and standards such as the Project Management Institute's (PMI) Project Management Body of Knowledge (PMBOK®).

B1.1.1 Overview of our Modernization Legacy Rules Assessment & Component Extraction Methodology

GCOM's approach to Legacy Rules Extraction is a methodology we have honed and proven effective on our FHIS, BICS, and Lottery projects. Our methodology is comprised of four core steps described in **Figure 3** below:

Figure 3 GCOM's Business Rules Extraction Methodology

- **Build a Repository** - Identifying Business Requirements from the existing legacy application starts with building a repository of the Child Support application:

  - Stakeholder Engagement. Confirm the Child Support components that are used to execute the application. This will include application programs, ECL, Copybooks, XML, SQL, and any other component that is used in the application. This is accomplished by identifying and engaging the stakeholders that can provide this information.

  - Process Discovery and Identification. Stakeholders and SMEs will verify the internal programs that make up the Child Support application. This will determine the structure of the Repository.

  - Process Prioritization. The SMEs and Stakeholders will work with GCOM to determine the priority of the Child Support applications that need to be presented for review.

  - Build the Repository. This will be accomplished by installing the Intellisys tool. This repository will accommodate the Intellisys tool that will analyze the programs, ECL, Copybooks, XML, SQL, and all application components.

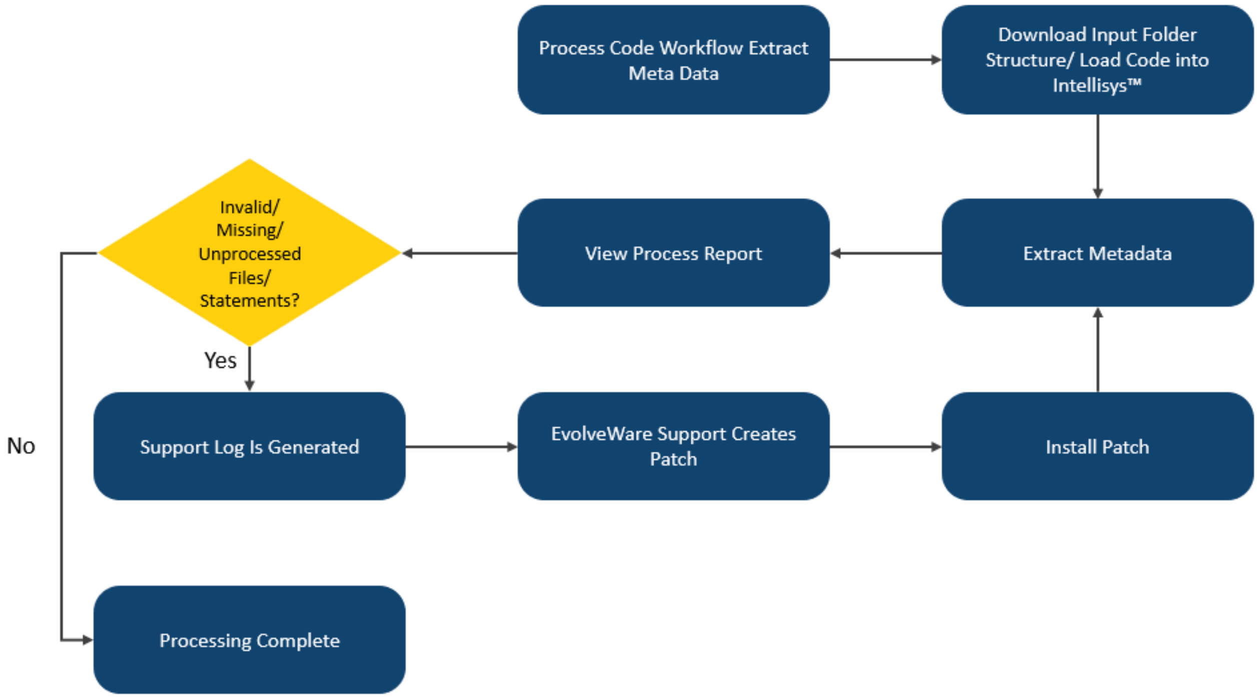


Figure 4 GCOM's Repository Creation Process

- **Code, ODM Curation** - This stage will enable us to gather the key requirements and understand detailed processes. The following activities will be performed during this stage:
    - SME Engagement. During this stage, we will setup initial meetings with the SMEs to discuss the current process
    - Source Code Analysis and Tagging. Once the Repositories have been populated, GCOM will start the code review process. GCOM will document application dependencies, trends, process streams, program functionality, make-up of the application, and other factors that will maximize the impact of the delivery of a package that will be easy for the business group to follow and understand the contents of the delivery.
    - Process Visualization. GCOM will create Process Flow diagrams that will track the entire application from start to finish. Complete system and program process flows will be created for SME review.
    - Validation. As the analysis process is being performed, the SMEs will be involved to validate and discuss the results of the activities to maximize the effectiveness of the final package delivery.
- **Business Curation** - The documentation process will include in depth analysis of the Child Support application from its roots to the business requirement level:
    - Business Rule Extraction. Business requirements will be presented for each program in the application. The reverse progressing of the process will be demonstrated. The origin of the program, the pseudo code derived from the original code and the transformation to business requirements are clearly addressed in a business rule presentation. Each rule will have a complete origin, pseudo code, and business requirement presentation.

- Business Process and Business Rule Mapping. Extracted business rules will be mapped to the process flow diagrams created during Process Analysis to complete the picture.
- Use Case Documentation. Process flow diagrams, actors, data elements, and business rules will be utilized to create the Use Cases. Each Use Case will represent a logical application process stream that was identified in the Process Analysis activities.
- Use Case Review. Completed Use Cases will be submitted to SMEs for initial review and their feedback. All findings will be addressed and incorporated in the appropriate deliverable before submitting the Use Cases for final review.
- Use Case Submission. Each individual Use Case will be submitted to the SMEs and Business Stakeholders for final review and approval.

- Use Case Documentation

  - Individual Use Case Document Sign-off. Once all the feedback provided by SMEs/Stakeholders is discussed and incorporated, individual Use Cases will be signed off.
  - Final Use Case Documents Package Signoff. After all the individual Use Cases are signed off, they will be packaged together, and the Stakeholder/Project Sponsors will sign off the package to indicate completion of "AS-IS" phase.

On the Child Support Rule Extraction project, this methodology provides the framework for our approach. Each project presents its own challenges and risks; using a repeatable methodology reduces risk and results in consistent project delivery.

B1.1.2 Source Code Assessment and Business Rules Extraction Process

Since the extraction process exercise requires a high-level assessment of the existing environment, GCOM will determine the most effective way to review application components. The Intellisys tool will use the original source code to create a system process flow that will identify process streams (or Use Cases). These streams will then be broken down into the program level. Each program will then be reviewed by paragraph for the number of executable lines of code, complexity of the code and the internal copybooks and subroutines that are involved in each program. Each paragraph is then reviewed to determine the function of the paragraph. Some paragraphs are still present in a program but are no longer called (also known as "Dead Code"). Process paragraphs simply initialize variables or handle standard error messages and do not make a logical decision. Paragraphs that perform logical decisions and control input and output functionality are defined as a "Rule".

Dead Code paragraphs will be identified but not curated. Process paragraphs will be identified in a process flow and will be summarized. Business Requirements will be created from paragraphs that are defined as Rules. **Table 4** addresses Non-Business Logic terms.

Table 4 The table below lists some of the Non-Business Logic to be excluded before extracting the underlying Business Rules.

Non-Business Logic	Extraneous Logic Identification
Syntactically Dead Logic	Identify logic never executed regardless of data values.
Semantically Dead Code	Identify logic not executed based on setting of data values. May be due to business changes.
Program Initialization Logic	Identify logic that sets element or record area values to null or zero after entry points. This is a Process Paragraph.
Input/Output (I/O) Logic	Identify I/O code to physical data structures or user media. Includes call, read, write, related commands and logic invoking I/O statements.
Output Area Build Logic	Identify logic moving data to DPS screen and report work areas by tracing elements in I/O areas back from output statements.
I/O Status Checking	Identify conditionals executed directly after I/O commands, checking communication codes for TIP or DPS, database or other I/O types.
Error-Handling Logic	Identify imperative logic that invokes exception reporting or module termination based on status code results.
Data Structure Manipulation	Identify database manipulation logic that can be traced to work areas not containing business data.
Special Environmental Logic	Identify logic managing homegrown compiler, TIP or DPS, database, date handling or similar routines.
Extraneous and Superfluous Logic	Identify redundant conditionals in same logic path, mutually exclusive tests, or similar routines.

REAL EXPERIENCE

The GCOM Team has over ***25 years*** of collective experience creating Business Requirement Documentation.

GCOM will perform rule extraction using the tool-based mining approach that is Intellisys. This tool is specifically designed for the task of the extraction and display of the underlying business rules. This offers new opportunities due to the ease and speed with which business rules within the source codes can be extracted. The tool is up to 60 to 70% more efficient than manual curation. This is documented in the BICS project where 1 month of manual curation was performed. Accuracy was compromised because the Rich Text Format (RTF) that contains the COBOL ODM (pseudo code) was not available to the CA. This led to findings that needed correction during the Quality Review of the document. The curation rate was below the 500 character per hour threshold. The Business Requirements will be less ambiguous due to the identification of rules in the RTF. The goal is to create a robust and accurate "AS-IS" Use Case. The 8 steps that are required to produce these results are defined in Section B.1.2

GCOM is proposing a Hybrid technique to mine business rules from within application logic:

Our focus will be to identify the control flow of the program inside the PROCEDURE division. This means the GCOM CA and the automated tool will search for special commands on paragraphs, sentences, and statements which can alter the sequential control flow of a COBOL program. As examples, these include, but are not limited to, "PERFORM", "GO TO" and "NEXT SENTENCE" words.

Following the above, the GCOM CA or software extraction tool will look at the statements which are divided in several groups according to the command they contain. The groups to be analyzed during this stage would be conditional, computation, in-out, end, move, go to, perform, and call. Secondly, after grouping the statements, for each of them, the variables in it are collected into one of four categories:

1. Condition Variables

2. Index Variables
3. Source Variables
4. Target Variables

Based on this classification, it will be possible to define different heuristics to identify business variables. From our experience, strong candidates to be classified as business variables are all target variables in computation statements, all the variables that appear in in-out statements and all the variables in conditional statements.

In some instances, wherever appropriate, a Hybrid approach for the above will be applied where an automated step returns a set of candidate variables and then the GCOM CA will validate and filter the results.

Once the candidate variables are identified, the next step will be to discover the business rules related to those candidate variables. The CA or tool will perform Control Flow Analysis, Data Flow Analysis, and Business Rule Discovery. The input to these sub-steps will be the candidate variables from the previous steps and the output of the Intellisys tool for each paragraph in each program.

The discovered business rules and its orchestration (connections and precedence among candidate rules) will be documented. One of the outputs of this step will be a Business Requirements. Other outputs will the process flow of each paragraph in the curated program.

It should also be noted that throughout the business rules discovery processes, the tool will automatically detect rules using semantic analysis such as each statement upstream from a candidate variable and which potentially impacts its value, will be mined as a candidate rule. Other examples of semantics matching will be output messages, semantic relationships between variables and table columns, variable usages, assignment and control statements, and variables used in Unisys DMS/RDMS queries.

The extracted business rule repository will define each physical source code and related system component in the subset of source codes targeted for extraction. As business rules are discovered, the BA will describe them within the tracking repository and link them to the component or COBOL program that physically defines that rule. The repository will have the functionality to filter redundant rules.

It must be noted, depending on the *type* of source code being analyzed, the GCOM CA may execute the following extra steps for tracing and tagging business logic.

- Batch programs and backward tracing: If a batch program is being analyzed, the GCOM CA will look to find the statement that appears to represent the calculation or presentation of the final output value. As he or she traces backwards, with the assistance of the GCOM BA, new business terms are identified and created to create one or more candidate rules. At this stage it is important to capture the sequence of the logic so that the GCOM CA can later evaluate whether the sequence needs to be maintained in the repository.

- If a transactional or screen/monitor program is being analyzed, the GCOM Analyst will look to find the statement that appears to represent the input value and trace forwards through the logic to identify alternative paths to the final output value(s). As he or she traces the logic forwards within such source codes, the GCOM CA and BA will identify and create new business terms and new candidate rules while keeping track of the logic sequence. The sequence will be stored in the Repository.

B1.1.3 We Know Intellisys

GCOM has performed extensive analysis using the EvolveWare Intellisys tool. GCOM, in partnership with EvolveWare, was involved in testing the latest software release. We have extensively used the Intellisys tools that:

- Analyze data elements by application and by program
- Create system process flows, program process flows, logical flow charts, and diagrams of complex logical statements
- Utilize the outputs to produce modernization recommendations by component in each program,
- Identify dead code and process paragraphs and assessment reports used for quality management.

We have a distinct advantage over other vendors due to our process that leverages these application tools, trained CAs, trained Bas, and specialized Intellisys support resources.

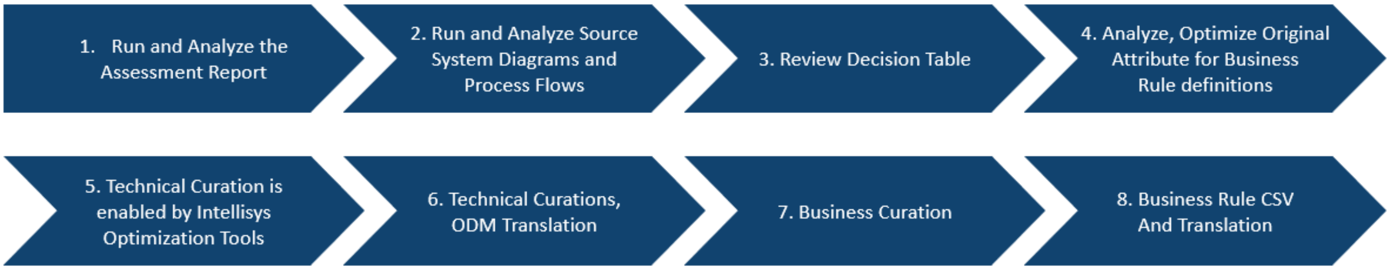
B1.2 Our Experience with Extraction Tools

How the Bidder will perform the rules extraction from the CSMS legacy system. If a tool is being proposed as part of the solution, the Bidder needs to describe in detail how the tool will be used. The cost, if any, of the tool must be included in the cost proposal.

We have spent almost two years using, analyzing, evaluating, leveraging, and developing a Business Requirements process that extracts the business rules from legacy code using Intellisys. As a result, our team has gained an advantage over any vendor that uses this tool. We have expanded our process to include the tool set that Intellisys has to offer. We have trained our CAs and BAs to leverage the Intellisys tools to insert quality up front in the Rules Extraction process. We have worked with EvolveWare to manage complex multi-repository projects. We have a process that reviews the source code utilizing the Intellisys report that identifies executable lines of code per program. It is not enough to know the number of lines of code per program because there is waste in comments, blank lines, and unused variables. Executable lines of code determine the purpose of a program. The program input, logical and arithmetic processing, and program output are defined and executed in this code. GCOM performs analysis of the programs to determine the logical processes that will constitute a business deliverable that makes sense. We bring an experienced team who is familiar with the legacy application and Intellisys, which will increase production velocity based on this experience.

By packaging deliverables into logical business Use Cases both GCOM and IES teams can converse on the Business Requirements that have been recognized in the rule's extraction process.

Once the application components of the Child Support system have been identified, work groups and repositories will be built. Consideration for cross functional components of each application in the Child Support product will be critical in defining and building effective repositories. This means that shared programs, subroutines, copybooks, ECL, and other components will need to reside in each Repository. Repository size considerations are also critical for optimal performance. The process is shown in **Figure 5**:



There are 8 process steps that fit within the 4 overall program curation steps shown in Figure 7.

The 8 steps are identified in this diagram. They are explained in the following text.

At least 3 Resources are involved in each step. The resources are:

1. Child Support SME
2. Business Analyst
3. COBOL Analyst

Figure 5 GCOM's understanding of the "AS-IS" Analysis and Business Rules Extraction for legacy CSMS

This **8-Step Process** will create a robust, accurate "AS-IS" Use Case that contains Business Requirements that can be used to create a modernized application. The assessment report is run against the entire application and their program components:

Step One: Run and Analyze the Assessment Report

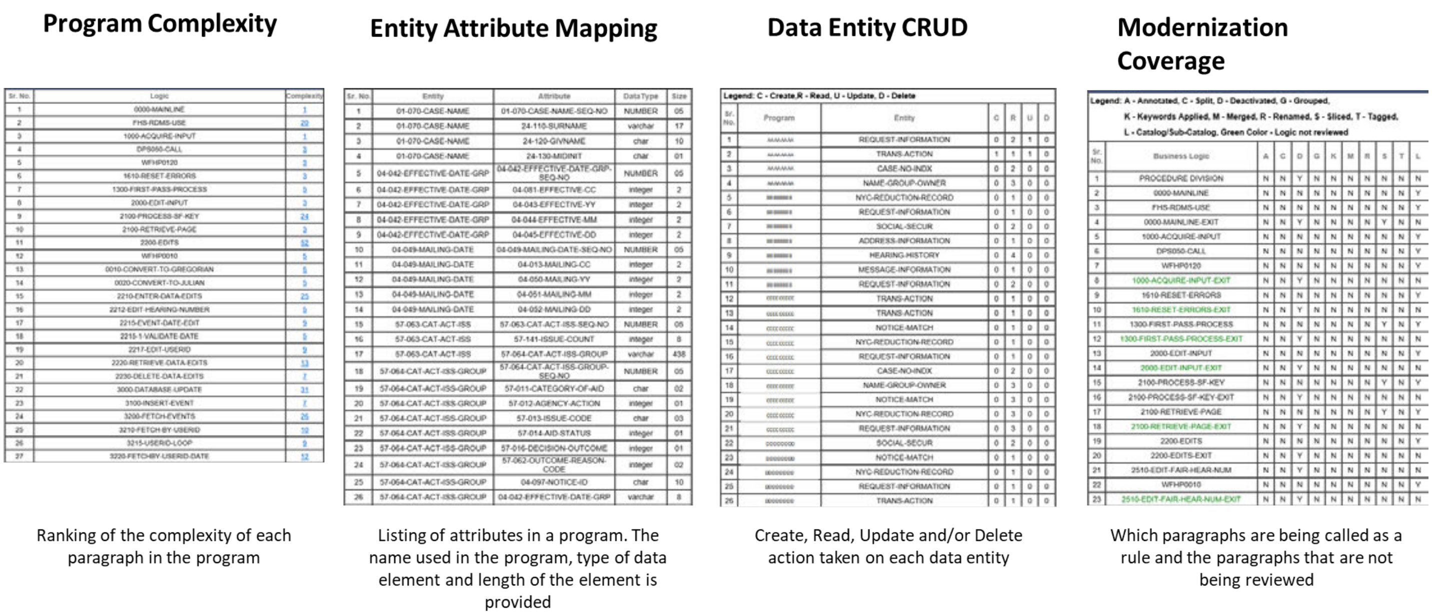


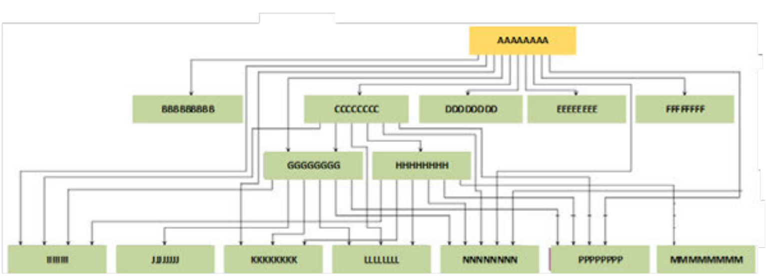
Figure 6 Step One – Run and Analyze the Assessment Report

- Program Complexity – It is not enough to know the number of executable lines of code. Rather, ranking the complexity of each program and the paragraphs within the program is crucial in creating an effective deliverable schedule. Ranking program and paragraph complexity is a key capability of the Intellisys tools. We will use this ranking to assign (1) analysis and extraction tasks to the appropriate resources and (2) allot adequate time for task delivery. We will use the following output to help define program complexity:

- Entity Attribute Mapping – The key to identifying a logical business deliverable is to understand the data elements that are used in the programs that are being reviewed. This report lists the attributes in a program.
- Data Entity CRUD – As each program is being evaluated the journey that the data element takes is enhanced by knowing when the data element is created, read, updated and or deleted (CRUD).
- Modernization Coverage – As each program is being reviewed by complexity and executable lines of code, paragraphs are reviewed to determine that attention that should be paid to extracting the appropriate business requirements. This report identifies paragraphs that are being called as a rule and the paragraphs that are not called at all.

Step Two: Run and Analyze Source System Diagrams and Process Flows

Source System Diagrams



Program AAAAAAAA is shown with the corresponding programs that are related to this program. Notice the programs called by CCCCCCCC. GGGGGGGG and HHHHHHHH

Process Flows

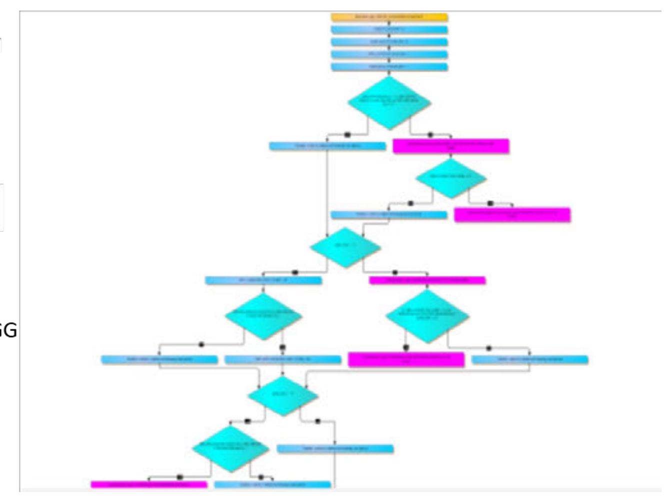


Figure 7 Step Two – Run and Analyze Source System Diagrams and Process Flows

A process is a critical part of the Business Requirements process. A System process flow shows how all of the program components fit together. This enables the BAs to understand and document import relationships in the Business Requirements that will need to be carried forward. The Program process flow breaks down what is being accomplished by the program. The detailed process flow identifies critical program milestones.

- Source System Diagrams - These diagrams show the process flow of programs. The first selection will show the root program of a process flow and all the programs that are called from that program. An application like Child Support will have multiple root process flows. This diagram will identify batch and online processes. It will be used to build logical Use Cases that will be easy for IES SMEs to review.

- Source Program Diagrams – The second level is to show the process flow within a program. It identifies the order in which the data is being processed. It will show any specific external process points like external program calls or subroutines.

- Detailed Process Flows – The third level of the process flow analysis is that internal program logical flow. This will identify decision points graphically. It identifies where the data is being processed and where it is being distributed for processing by the next operation. This is very critical in supporting the ODM as it is being created.

- GCOM Process Flow Deliverable – All three tools will be leveraged to build a comprehensive process flow diagram for each program. It will be included in the Use Case package that will be delivered to the Child Support SMEs

Step 3: Review Decision Table:

2110-CLEARANCE		1	2	3	4	5	6	7	8	9
CONDITIONS	ON OVERFLOW									
	WS-VALUE-MATCH (1) is equal to 106									
	WS-MULT-106 is greater than 0									
	WS-VALUE-MATCH (1) is equal to 105									
	WS-VALUE-MATCH (1) is equal to 104									
	WS-VALUE-MATCH (1) is equal to 103									
	WS-VALUE-MATCH (1) is equal to 102									
ACTIONS	Print 'LOAD ERROR ON EI1014' on PRINTER	X								
	Set CSC-REC-OUT.CLEARANCE-CIN is equal to WS-RECIP-ID (1)		X			X	X	X	X	
	Set MATCH is equal to 'M06'			X						
	Set MULTIPLE-106 is equal to 1 + MULTIPLE-106			X						
	Set MATCH is equal to '106'				X					
	Set 106-MATCH is equal to 1 + 106-MATCH				X					
	Set MATCH is equal to '105'					X				
	Set 105-MATCH is equal to 1 + 105-MATCH					X				
	Set MATCH is equal to '104'						X			
	Set 104-MATCH is equal to 1 + 104-MATCH						X			
	Set MATCH is equal to '103'							X		
	Set 103-MATCH is equal to 1 + 103-MATCH							X		
	Set MATCH is equal to '102'								X	
	Set 102-MATCH is equal to 1 + 102-MATCH								X	
	Set MATCH is equal to WS-VALUE-MATCH (1)									X

Figure 8 Step Three – Review Decision Table

- Decision Table –The decision table documents a logical decision that is made in the execution of a program. In order to correctly define the business requirement, all aspects of a decision must be documented. Executable code, complexity, and analysis of complex conditional coding are necessary tools in assigning, developing, and delivering a quality product. Business Requirements may be complex in nature. This tool will assist the BA and the CA in successfully navigating complicated decision tables.

Step 4: Analyze, Optimize Original Attribute for Business Rule definitions

Attribute Extract

ORIGINAL ENTITY	ORIGINAL ATTRIBUTE	Renamed Entity	Renamed Entity Description	Renamed Attribute	Renamed Attribute Description	Associated Entity	Associated Key	PARENT TABLE
01_070_CASE_NAME	01_070_CASE_NAME_SEQ_NO	01_070_CASE_NAME	None	01_070_CASE_NAME_SEQ_NO	None	01_070_CASE_NAME		01_070_CASE_NAME
01_070_CASE_NAME	24_110_SURNAME	01_070_CASE_NAME	None	24_110_SURNAME	None	01_070_CASE_NAME		01_070_CASE_NAME
01_070_CASE_NAME	24_120_GIVNAME	01_070_CASE_NAME	None	24_120_GIVNAME	None	01_070_CASE_NAME		01_070_CASE_NAME
01_070_CASE_NAME	24_130_MIDINIT	01_070_CASE_NAME	None	24_130_MIDINIT	None	01_070_CASE_NAME		01_070_CASE_NAME
57_210_REQUEST_DATE_GRP	57_210_REQUEST_DATE_GRP_SEQ_NO	57_210_REQUEST_DATE_GRP	None	57_210_REQUEST_DATE_GRP_SEQ_NO	None	57_210_REQUEST_DATE_GRP		57_210_REQUEST_DATE_GRP
57_210_REQUEST_DATE_GRP	57_211_REQUEST_DATE_CC	57_210_REQUEST_DATE_GRP	None	57_211_REQUEST_DATE_CC	None	57_210_REQUEST_DATE_GRP		57_210_REQUEST_DATE_GRP
57_210_REQUEST_DATE_GRP	57_007_REQUEST_DATE	57_210_REQUEST_DATE_GRP	None	57_007_REQUEST_DATE	None	57_210_REQUEST_DATE_GRP		57_210_REQUEST_DATE_GRP
57_212_DECISION_DUE_DATE	57_212_DECISION_DUE_DATE_GRP_SEQ_N	57_212_DECISION_DUE_DATE	None	57_212_DECISION_DUE_DATE_GRP_SEQ_NO	None	57_212_DECISION_DUE_DATE_GRP		57_212_DECISION_DUE_DATE_GRP
57_212_DECISION_DUE_DATE	57_213_DECISION_DUE_DATE_CC	57_212_DECISION_DUE_DATE	None	57_213_DECISION_DUE_DATE_CC	None	57_212_DECISION_DUE_DATE_GRP		57_212_DECISION_DUE_DATE_GRP
57_212_DECISION_DUE_DATE	57_017_DECISION_DUE_DATE	57_212_DECISION_DUE_DATE	None	57_017_DECISION_DUE_DATE	None	57_212_DECISION_DUE_DATE_GRP		57_212_DECISION_DUE_DATE_GRP
57_065_HEARING_INFO	57_065_HEARING_INFO_SEQ_NO	57_065_HEARING_INFO	None	57_065_HEARING_INFO_SEQ_NO	None	57_065_HEARING_INFO		57_065_HEARING_INFO
57_065_HEARING_INFO	57_214_HEARING_DATE_GRP	57_065_HEARING_INFO	None	57_214_HEARING_DATE_GRP	None	57_065_HEARING_INFO		57_065_HEARING_INFO
57_065_HEARING_INFO	57_020_HEARING_TIME	57_065_HEARING_INFO	None	57_020_HEARING_TIME	None	57_065_HEARING_INFO		57_065_HEARING_INFO
57_065_HEARING_INFO	57_021_HEARING_OFFICER	57_065_HEARING_INFO	None	57_021_HEARING_OFFICER	None	57_065_HEARING_INFO		57_065_HEARING_INFO
57_065_HEARING_INFO	57_015_HEARING_DISPOSITION	57_065_HEARING_INFO	None	57_015_HEARING_DISPOSITION	None	57_065_HEARING_INFO		57_065_HEARING_INFO
57_065_HEARING_INFO	57_216_DATE_ACTION_TAKEN_GRP	57_065_HEARING_INFO	None	57_216_DATE_ACTION_TAKEN_GRP	None	57_065_HEARING_INFO		57_065_HEARING_INFO
57_065_HEARING_INFO	57_049_HEARING_AID_STATUS	57_065_HEARING_INFO	None	57_049_HEARING_AID_STATUS	None	57_065_HEARING_INFO		57_065_HEARING_INFO
57_065_HEARING_INFO	57_002_HEARING_TYPE	57_065_HEARING_INFO	None	57_002_HEARING_TYPE	None	57_065_HEARING_INFO		57_065_HEARING_INFO
57_065_HEARING_INFO	57_218_SCHEDULE_DATE_GRP	57_065_HEARING_INFO	None	57_218_SCHEDULE_DATE_GRP	None	57_065_HEARING_INFO		57_065_HEARING_INFO
57_065_HEARING_INFO	57_220_NEW_REQUEST_DATE_GRP	57_065_HEARING_INFO	None	57_220_NEW_REQUEST_DATE_GRP	None	57_065_HEARING_INFO		57_065_HEARING_INFO
57_065_HEARING_INFO	57_061_DISPOSITION_REASON_CODE	57_065_HEARING_INFO	None	57_061_DISPOSITION_REASON_CODE	None	57_065_HEARING_INFO		57_065_HEARING_INFO
57_065_HEARING_INFO	57_167_SCHEDULE_FLAG	57_065_HEARING_INFO	None	57_167_SCHEDULE_FLAG	None	57_065_HEARING_INFO		57_065_HEARING_INFO

Figure 9 Step Four – Analyze, Optimize Original Attribute for Business Rule Definitions

- Attribute Extract – In conjunction with the Assessment Report (captured in Step 2), loading the Data Schema Matrix (DSM) into Intellisys will produce an Attribute Extract. The Attribute Extract will not only allow the BA and CA to document variable usage by program but label the attribute by its business reference as needed.
- GCOM Data Element Deliverable – This will be updated with the contents of this report.

Step 5: Technical Curation is enabled by Intellisys Optimization Tools

- Intellisys Generated Rich Text Files (RTF) – The fifth step in reverse engineering the rules extraction process for every program is to provide the original COBOL source code along with the RTF that will be generated by Intellisys.

Original Code **Intellisys Generated Rich Text Files**

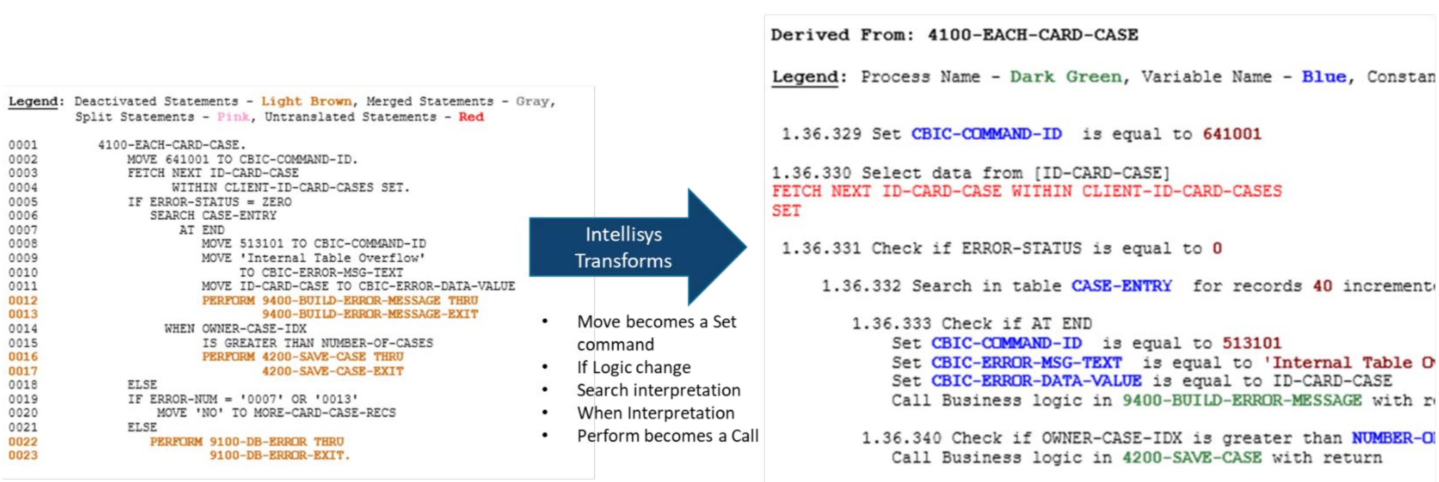


Figure 10 Step Five- Technical Curation is Enabled by Intellisys Optimization Tools

- Original Code – The original source code is an important tool in the Rules Extraction process. Providing the original source code will present all the data element definitions, decision variable definitions, and the copybooks that a program will use.

- Intellisys Generated Rich Text Files (RTF) – The Intellisys tool converts basic COBOL commands into Pseudo Code / ODM commands. This is an advantage over manual curation. The IES standards are based on standard ODM rules. All 'Moves' are converted to 'Set' commands. All 'Performs' are converted to 'Call Business rules in' and all logic statements (When and Where) are converted into 'IF' clauses. This will allow the curator to quickly convert logic statements into specific business rules.

Step 6: Technical Curations, ODM Translation

Curated Code, ODM Language

```
o    Set CBIC-COMMAND-ID  is equal to 641001.
o    FETCH NEXT ID-CARD-CASE WITHIN CLIENT-ID-CARD-CASES
     SET
If the following is true
o    ERROR-STATUS is equal to 0
Then
o    Search in table CASE-ENTRY  for records 40
     incremented by OWNER-CASE-IDX
o    Check if AT END
o    Set CBIC-COMMAND-ID  is equal to 513101
o    Set CBIC-ERROR-MSG-TEXT  is equal to 'Internal Table
     Overflow'
o    Set CBIC-ERROR-DATA-VALUE is equal to ID-CARD-CASE
o    Call Business logic in 9400-BUILD-ERROR-MESSAGE with
     return
o    Check if OWNER-CASE-IDX is greater than NUMBER-OF-
     CASES
o    Call Business logic in 4200-SAVE-CASE with return
End of rule
If the following is true
o    ERROR-STATUS is not equal to 0
o    ERROR-NUM is equal to '0007' or ERROR-NUM is equal
     to '0013'
Then
o    Set MORE-CARD-CASE-RECS  is equal to 'NO'
End of rule
If the following is true
o    ERROR-STATUS is not equal to 0
o    ERROR-NUM is not equal to '0007' or ERROR-NUM is not
     equal to '0013'
Then
o    Call Business logic in 9100-DB-ERROR with return
End of rule
End of business rule.
```

Figure 11 Step Six – Technical Curations, ODM Translation

- Curated Code – GCOM CAs will take the RTFs and document them in readable language for review by the BA. The ODM standards will allow both the CA and the BA to agree on Business Requirements that will result from the ODM curation

Step 7: Business Curation

Rule# 35.1453.25585 - Store New Card Owner

BA:

Paragraph Name: 2310-STORE-CARD-OWNER

EW Range: (35.1453.25585 - 35.1453.25603)

Rule Name: Store New Card Owner

Summary: This paragraph is executed to Store the New Card Owner record into the database.

Preconditions: Function code to Store Card/New Card owner is requested from the calling program.

Precedent Rules:
35.1447.25471 - 2200-MODIFY-CARD-OWNER
35.1451.25532 - 2300-STORE-NEW-OWNER

Dependent Rules:
35.1465.25684 - 2600-INIT-CARD-OWNER
35.1467.25702 - 9100-DB-ERROR

Flow:
This paragraph stores the New Card Owner record into the database.

Comments:

- This paragraph is called to store the New Card Owner record into the database.
- If the function code requested from the calling program is 'N'(CBCL11-NEW-CARD-OWNER), then 2600-INIT-CARD-OWNER is called to Initialize all ID-CARD-OWNER records for further processing.
- The User id, Trans code, ID card Key, CIN Source Indicator and ID card area numbers that are passed as input parameters from the calling program, are set to the corresponding fields of ID-CARD-OWNER record and the function to Store Card Owner record is executed.

Figure 12 Step Seven – Business Curation

- Business Curation – GCOM BAs and CAs will take the Intellisys tools identified in all previous steps plus the ODM (created in Step 6) to create a Business Requirement section. This section will contain:

  - Rule # - What is the EvolveWare (EW) range number in Intellisys and the name of the specific identified rule
  - Paragraph Name – This is the actual name of the paragraph that was curated
  - Summary – A summary of what the paragraph is performing
  - Pre-condition – What action or prerequisite needs to be in place for this paragraph to function completely
  - Precedent Rules – What rules are processed that call the business rules in this paragraph
  - Dependent Rules – What rules are executed once or while this rule is being processed
  - Flow – What is the process that this paragraph is executing. The focus is on the 'happy path' for the paragraph before and after its execution
  - Comments –These are the Business Requirements for the paragraph whereas the ODM reflects the paragraph design in pseudo-code conforming to the IBM ODM syntax standard. The comments

describe the existing "AS-IS" as per the explanation of the flow of the paragraph. The description of what is being processed and what decisions are being made. Reference is made to the contents of the paragraph as well as describing the business function of what is being accomplished.

Step 8: Business Rule CSV and Translation

- Business Rule CSV and Translation – Intellisys produces the raw materials that will feed the curated program (Steps 6 and 7). The contents of Steps 6 and 7 are then entered directly into the Intellisys tool. This provides the rules extraction in a retrievable format. This compliments the contents of the Use Case that will be provided to the IES SMEs.

Program/Module	Routine/Business Rule	Statement ID	Conditional Statements	Resulting Actions	English Translation
AAAAAAAA	AAAAAAAA-0000-MAINLINE	1.2.4	N/A	Call Business rule in 1000-INITIALIZE with return	It is obligatory to 1000-INITIALIZE with return
					It is obligatory to 2000-READ-INPUT with return WHEN the
AAAAAAAA	AAAAAAAA-0000-MAINLINE	1.2.6	NOT (END-OF-FILE is equal to TRUE)	Call Business rule in 2000-READ-INPUT with return	NOT (END-OF-FILE is equal to TRUE)
AAAAAAAA	AAAAAAAA-0000-MAINLINE	1.2.10	N/A	Call Business rule in 4000-TERMINATE with return	It is obligatory to 4000-TERMINATE with return
AAAAAAAA	AAAAAAAA-0000-MAIN-EXIT	1.3.12	N/A	Halt the execution of the program	It is obligatory to Halt the execution of the program
AAAAAAAA	AAAAAAAA-1000-INITIALIZE	1.4.14	N/A	Set END-OF-FILE-IND is equal to 0	It is obligatory to Set END-OF-FILE-IND is equal to 0
AAAAAAAA	AAAAAAAA-1000-INITIALIZE	1.4.15	N/A	Set MULTIPLE-106 is equal to 0	It is obligatory to Set MULTIPLE-106 is equal to 0
AAAAAAAA	AAAAAAAA-1000-INITIALIZE	1.4.16	N/A	Set 106-MATCH is equal to 0	It is obligatory to Set 106-MATCH is equal to 0
AAAAAAAA	AAAAAAAA-1000-INITIALIZE	1.4.17	N/A	Set 105-MATCH is equal to 0	It is obligatory to Set 105-MATCH is equal to 0
AAAAAAAA	AAAAAAAA-1000-INITIALIZE	1.4.18	N/A	Set 104-MATCH is equal to 0	It is obligatory to Set 104-MATCH is equal to 0
AAAAAAAA	AAAAAAAA-1000-INITIALIZE	1.4.19	N/A	Set 103-MATCH is equal to 0	It is obligatory to Set 103-MATCH is equal to 0
AAAAAAAA	AAAAAAAA-1000-INITIALIZE	1.4.20	N/A	Set 102-MATCH is equal to 0	It is obligatory to Set 102-MATCH is equal to 0
AAAAAAAA	AAAAAAAA-1000-INITIALIZE	1.4.21	N/A	Set NO-SS-NUMBER is equal to 0	It is obligatory to Set NO-SS-NUMBER is equal to 0
AAAAAAAA	AAAAAAAA-1000-INITIALIZE	1.4.22	N/A	Set RECORDS-READ is equal to 0	It is obligatory to Set RECORDS-READ is equal to 0
AAAAAAAA	AAAAAAAA-1000-INITIALIZE	1.4.23	N/A	Set RECORDS-WRITTEN is equal to 0	It is obligatory to Set RECORDS-WRITTEN is equal to 0
AAAAAAAA	AAAAAAAA-1000-INITIALIZE	1.4.24	N/A	Open file CSC-FILE-OUT in Output Mode	It is obligatory to Open file CSC-FILE-OUT in Output Mode
AAAAAAAA	AAAAAAAA-1000-INITIALIZE	1.4.25	N/A	Open file CSC-FILE-IN in Input Mode	It is obligatory to Open file CSC-FILE-IN in Input Mode
AAAAAAAA	AAAAAAAA-1000-INITIALIZE	1.4.26	N/A	Register the run unit	It is obligatory to Register the run unit
					It is obligatory to Transfer control to statement following next period WHEN the
AAAAAAAA	AAAAAAAA-1000-INITIALIZE	1.4.27	ERROR-STATUS is equal to '000000'	Transfer control to statement following next period	ERROR-STATUS is equal to '000000'
					It is obligatory to 9000-ROLLBACK with return WHEN the
			ERROR-STATUS is equal to '000000' AND		ERROR-STATUS is equal to '000000' AND
AAAAAAAA	AAAAAAAA-1000-INITIALIZE	1.4.29	Otherwise	Call Business rule in 9000-ROLLBACK with return	Otherwise
AAAAAAAA	AAAAAAAA-1000-INITIALIZE	1.4.34	N/A	Set WS-SSN-AREA is equal to 0	It is obligatory to Set WS-SSN-AREA is equal to 0
AAAAAAAA	AAAAAAAA-1000-INITIALIZE	1.4.35	N/A	Set WS-CASE-AREA is equal to 0	It is obligatory to Set WS-CASE-AREA is equal to 0
AAAAAAAA	AAAAAAAA-1000-INITIALIZE	1.4.36	N/A	Set intTimes is equal to 1	It is obligatory to Set intTimes is equal to 1
					It is obligatory to 9000-ROLLBACK with return WHEN the
			ERROR-NUM is equal to 0 or ERROR-NUM is equal to '0028' AND		ERROR-NUM is equal to 0 or ERROR-NUM is equal to '0028' AND
AAAAAAAA	AAAAAAAA-1100-OPEN-AREAS	1.6.59	Otherwise	Call Business rule in 9000-ROLLBACK with return	Otherwise

Figure 13 Step Eight – Business Rule CSV and Translation

Table 5 provides descriptions of the terms that are used in the Business Rules extraction process.

Table 5 Terms Used in Business Rules Extraction

Business Rules	
Business Rule	Contains a result statement that is a Business Fact or Business CRUD statement.
Shared Validation	Contains a result statement that is a Business Shared Fact.
Business UI Validation	Contains a result statement that is a Business UI Fact.
Business IO Validation	Contains a result statement that is a Business IO Fact.
Business Fact Categories (listed in order of precedence)	
Business Fact	A non-conditional statement that contains CRUD variables.
Business CRUD	A non-conditional statement that performs CRUD actions.

Business IO Fact	A non-conditional statement that contains file IO variables.
Business UI Fact	A non-conditional statement that contains UI variables.
Business Shared Fact	A non-conditional statement that contains shared or global variables.
Miscellaneous Categories	
Business Data Validation	These are conditionals that contain file/database variables that do not meet the requirements for business rules.
Other Validation	A catch all for any other conditional statement that does not meet the criteria as stated for other conditional statements.
Technical	A rule that is found to be purely technical in nature; has no business value but necessary for the mechanics of the program to work.
Unresolved	Code which has unresolved issues, e.g., call statements to missing subroutines or procedures.

B1.3 How our Team is Structured to Deliver the CSMS Rule Extraction Over the Project Duration.

How the staffing defined in section C, Staffing Management Plan, will be used to ensure a successful project.

Figure 14 illustrates our corporate organization chart and how the Child Support Legacy Rules Extraction project will report into GCOM executive leadership.

[redacted]

This organizational chart describes the reporting structure for this engagement. GCOM provides escalation points up to the Chief Operating Officer, Heidi Green. Seth Werbin, our Chief Information Security Officer, provides guidance and insight to security needs. Paul Murray, our Chief Financial Officer, supports our accounts receivable and accounts payable for this project, ensuring our partners S2Tech, ACS, and Nubes Opus are paid timely, and our invoices are submitted at the prescribed intervals. Susie Bonvouloir, our Chief People Officer, will support all activity around recruiting and providing candidates to fill vacant positions. Raul Puri, our Chief

Product Officer, will provide support as needed regarding our use of EvolveWare's Intellisys product and any other products or tools our team may bring to bear – with the review and approval of NYS ITS.

The GCOM Team will deliver as a unified team under the leadership of our PM, [redacted]. Our staffing plan includes our Project Management Office (PMO), PM, BAs, CAs, and EvolveWare's Intellisys Specialists. Our staffing level considers code review efficiencies that we expect to be realized with the use of the EvolveWare Intellisys tool. **Table 6** describes the roles and responsible of our proposed team.

THE RIGHT TEAM

The GCOM Team is experienced with Rules Extraction, knowledgeable about the Child Support program, and includes EvolveWare Specialists.

Table 6 Roles and Responsibilities of our proposed team

Roles	Key Staff	Responsibilities
[redacted]		

Roles	Key Staff	Responsibilities
[redacted]		

Roles	Key Staff	Responsibilities
[redacted]		

[redacted]

B1.4 Summary: GCOM understands the Goals and Objectives of the CSMS Rule Extraction Project

<u>That the Bidder understands the scope of work to be performed.</u>

The NYS IES Program's goal with this engagement is to document the "AS-IS" Child Support Information System business rules and Use Cases. IES seeks detailed Use Cases that can be used by downstream design, development, and implementation vendors to build a modernized Child Support Module for New York's next generation Integrated Eligibility System.

GCOM's proposed project team and technical approach will meet and exceed your scope and schedule requirements. Features of our proposed delivery approach includes:

1. Use of the EvolveWare Intellisys Tool to accelerate technical analysis and categorization of the legacy Child Support Code will enable GCOM to deliver the Child Support Use Cases as per the documented project schedule.
2. GCOM's experience and proven track record as a system integration provider means we understand the level of detail that will be required to document and deliver the Use Cases. Use Cases we will deliver as part of this engagement will include these required components:
    a) Use Case Name
    b) File Location
    c) Specifications used as a reference
    d) Description
    e) Dependencies
    f) Acronyms and Definitions
    g) Actors
    h) Preconditions
    i) Existing Screen Inputs and Outputs - including screenshots and metadata of each (field size, edits, type, database field, etc.)
    j) Data Model
    k) Detailed Process Flow
    l) Post Conditions
    m) Business Rules
    n) Special Requirements (non-functional)
3. To maintain the project schedule, NYS IES desires to review Use Case deliverables on a rolling basis as each program area Use Case is completed. GCOM anticipates that we will submit Use Cases deliverables in 3-week intervals through the end of the engagement.

B2 Proposed Project Work Plan

[redacted]

[redacted]

[redacted]

[redacted]

[redacted]

[redacted]

[redacted]

[redacted]

[redacted]

[redacted]

[redacted]

B3 Proposed Project Timeline

Provide a detailed timeline for each task included in the project scope. The Bidder should provide a fully loaded Microsoft Project schedule for the project including:

- *Tasks which align with the proposed project technical approach in section B of this attachment (Attachment 6) and project deliverables, Section 3.5 of the PBITS Solicitation Document.*
- *Resources which align with the staffing management plan in Section C of this attachment (Attachment 6) and Key Personnel Requirements, Section 3.3 of the PBITS Solicitation Document.*
- *The Bidder's ability to provide the required deliverables no later than one (1) year from project start date, with preference given to Bidders providing deliverables in an expedited and condensed timeframe.*

GCOM project plan results in completion and approval of all program area uses cases over a one-year duration. GCOM has submitted a sample Microsoft Project Schedule with this Technical Response in GCOM Exhibit 1.

The project plan is resource loaded and aligned with our staffing management plan described in Section C, Staffing Management Plan.

Figure 18 illustrates the work packages (MS Project Summary Activities) described in our project plan.

1.5.2 Use Cases	180 days	Tue 8/10/21	Fri 4/29/22
1.5.2.1 5.1 Deliverable 3 - Asset Batch - Complete	0 days	Tue 8/10/21	Tue 8/10/21
1.5.2.2 5.2 Deliverable 4 - Asset ACCTING - Complete	0 days	Tue 8/31/21	Tue 8/31/21
1.5.2.3 5.3 Deliverable 5 - Batch ADMIN - Complete	0 days	Wed 9/22/21	Wed 9/22/21
1.5.2.4 5.4 Deliverable 6 - Batch ENFORCMNT - Complete	0 days	Thu 10/14/21	Thu 10/14/21
1.5.2.5 5.5 Deliverable 7 - Batch INTERFACE - Complete	0 days	Thu 11/4/21	Thu 11/4/21
1.5.2.6 5.6 Deliverable 8 - Batch REPORTING - Complete	0 days	Mon 11/29/21	Mon 11/29/21
1.5.2.7 5.7 Deliverable 9 - Batch SUPPORT - Complete	0 days	Mon 11/29/21	Mon 11/29/21
1.5.2.8 5.8 Deliverable 10 - Command PROCS - Complete	0 days	Mon 12/20/21	Mon 12/20/21
1.5.2.9 5.9 Deliverable 11 - Online ADMIN - Complete	0 days	Wed 1/12/22	Wed 1/12/22
1.5.2.10 5.10 Deliverable 12 - Online ACCT MGMT - Complete	0 days	Thu 2/3/22	Thu 2/3/22
1.5.2.11 5.11 Deliverable 13 - Unline CASE MGMT - Complete	0 days	Fri 2/25/22	Fri 2/25/22
1.5.2.12 5.12 Deliverable 14 - PURGES - Complete	0 days	Fri 2/25/22	Fri 2/25/22
1.5.2.13 5.13 Deliverable 15 - Tax OFFSET - Complete	0 days	Fri 3/18/22	Fri 3/18/22
1.5.2.14 5.14 Deliverable 16 - Unload RPTS - Complete	0 days	Fri 4/8/22	Fri 4/8/22
1.5.2.15 5.15 Deliverable 17 - IOLT - Complete	0 days	Fri 4/29/22	Fri 4/29/22
1.6 Task 6 - Final Sprint Document Packaging and Review	35 days	Mon 5/2/22	Mon 6/20/22
1.7 Task 7 - Close Project	11 days	Tue 6/21/22	Wed 7/6/22

Figure 18 Work packages described in our Microsoft Project Schedule

Section C: Staffing Management Plan

In this section the Bidder must provide a staffing management plan the Bidder proposes to complete the scope of work and deliverables in this Mini-Bid and the necessary timeline for completion of such work:

The Bidder should describe its staffing plan for the project including:

- *A table showing the number of staff, with names if possible, including Key Personnel and any support positions who will be assigned to provide services under the CSMS Rules Extraction Contract.*
    - *Note: Due to a lengthy onboarding process, including background checks (at Contractor's expense) and a 45-day clearance through the IRS, Bidder's should include all staff who will work on the project in this table as these names will be submitted for clearance. This should also include all alternatives for key roles and any other known staff in the event replacement is needed (e.g. replacement, schedule crashing). For evaluation purposes, only ONE key role candidate will be evaluated. Any staff changes will be required to pass all clearance and background checks that could take 45+ days.*
- *Details of how staffing, including key personnel, will be provided to meet the project deliverables over the entire lifecycle of the Agreement including a summary of their methods to obtain staff with the appropriate expertise and skill levels required to perform the Mini-Bid Scope of Work.*
- *An explanation of how, if selected, the Bidder will manage any change in Key Personnel during the term of the Agreement.*
- *An explanation of how the Bidder's staffing plan will be used to ensure a successful project*
- *How the staffing defined will be used to ensure a successful project.*

C1 Our Staffing Plan

A table showing the number of staff, including Key Personnel and any support positions who will be assigned to provide services under the CSMS Rules Extraction Contract. The Bidder must ensure that all Key Personnel meet the qualifications of the respective Job Position/Title as outlined in Section 3.3 Project Consulting Key Personnel Requirements.

Table 14 describes GCOM's Staffing Plan.

[redacted]

[redacted]

Staffing Plan for Replacement of Contract Personnel

GCOM understands the importance of the continuity of resources through the entire project lifecycle; loss of any key resource in the middle of the project increases project risks and increases effort. GCOM takes a two-pronged approach to maintaining key staff on our projects:

1. GCOM Management delivers a great place for great people to do great work, to grow and to enjoy a high quality of life.
2. GCOM builds our project teams, and delivery processes are organized such that knowledge is institutionalized and there is no single point of failure.

Our attrition rate is below industry standard (attrition is defined as 13.2% of employees separating from companies). A low level of attrition implies more value for our customers, lowered cost due to continuity of the staff through length of the project, and lower probability of missed deadlines due to little or no turnover.

Possible reasons for turnover and GCOM's mitigation strategies are detailed below.

- **Misunderstanding of the Client/Project/Role/Location**. A smooth start is very important. We ensure the consultant is comfortable with all details regarding the position, prior to submission. Our recruiters review every detail of the Agency, Project, Role, day to day tasks, etc. and confirm the consultant is fully interested.

- **Transition Issues**. Once the consultant is selected, when possible, we put them in touch with a team member already working with the same client to help get them onboarded, answer any questions, and help them transition. We check in frequently in the first couple of months to make sure relocation and onboarding went smoothly and the consultant is satisfied with the project environment, and that the client is satisfied with the consultant.

- **Pursuing Growth**. Our staff know there is room for promotion and growth within GCOM, so they do not need to look elsewhere. We support our employees by covering the cost of certification exams for any employee that chooses to pursue a certification and we arrange study groups with other team members.

- **Fear of Contract Ending**. In this industry, it is normal for a consultant to start looking for a new project 2-3 months prior to their existing contract ending to avoid a gap in work. We have several fixed cost projects and product development, so our team knows should they have a gap in assignments there is work available for them in our office until the next contract. 80% of our professionals in the Capital Region are full time employees, so this remedy is required for only 20% of our subcontractors.

- **Higher Pay**. We offer wages in the 90 - 95 percentile for a given skill category. This policy mitigates risk of consultants leaving due to wage consideration.

GCOM's explosive growth, coupled with our human resources policies has mitigated attrition problems. Our growth enables professional growth of our employees; that eliminates one of the key reasons employees look for an outside opportunity. Some of the factors below make GCOM a very desirable company to work for:

- Monthly knowledge sharing meeting for GCOM employees (provide cross agency technical / domain knowledge)

- Continuing training opportunities for consultants to enhance technical skills

- High redeployment rate upon successful completion of assignments

- Very competitive employee benefits package

Another effective tool that GCOM utilizes is the Employee Satisfaction Rating (ESR). ESR measures overall satisfaction of our managers, employees, and consultants, and identifies potential employee perception issues. We have found ESR to be a highly effective tool in maintaining relatively high staff morale and high retention rates. The ESR is a highly effective feedback tool and employee suggestions have been incorporated into our operational processes to make GCOM a great place to work.

These factors combined have made GCOM a Top Workplace for 3 consecutive years.

GCOM'S WORKPLACE AWARDS

ALBANY TIMES UNION TOP WORKPLACE

GCOM is dedicated to filling positions with our most qualified personnel to the Child Support Business Rules Extraction project. As a team, we have ample resources available to fill positions as needed. Based on prior experience, GCOM expects a 2-week lead time to onboard qualified technical resources for the project. Our expectation of a two-week turnaround for resource onboarding is driven by several key variables. This allows knowledge briefing and shadows activities to occur by the transitioning out resource. In circumstances where this cannot occur, our project teams are structured such that there is no single point of failure and there is always a work lead, technical lead, PM, or project director that is able to provide a walkthrough of project documentation, processes, and procedures and / or code standards, repositories and configuration controls, system architecture and design standards.

Once a resource is identified that meets and exceeds the needs for the position, GCOM will perform a full background check on the resource. Once GCOM receives notification that the resource has passed the background checks, our PM will complete the paperwork to perform the state-required background check and onboarding.

Over GCOM's 15-year history, GCOM has delivered hundreds of engagements successfully. With GCOM, key personnel transition is a very low risk process. In Section E, we have completed the key staff minimum qualification forms to describe specifically how our key staff meet or exceed the specific requirements.

C2 We deliver a proven team with the experience to deliver CSMS Rule Extraction Deliverables, On Time and With Quality

Details of how staffing, including key personnel, will be provided to meet the project deliverables over the entire lifecycle of the Agreement including a summary of their methods to obtain staff with the appropriate expertise and skill levels required to perform the Mini-Bid Scope of Work.

[redacted]

GCOM's methodology for staffing our client service engagement incorporates a deep understanding of the project delivery scope, delivery schedule, and technologies required. We translated this understanding into a WBS and associated resource and LOE requirements with each planned activity and deliverable. We then translated the WBS into a time phase schedule and staffing plan. The staffing plan resulting from this process is illustrated in Table 14 GCOM's Staffing Plan in section C1 above.

Our Staffing Plan is comprised of the resource skill set requirements, estimated level of effort, and start and end dates necessary to complete the project. We carefully identified the best internal resources with the required skill sets to deliver client results per the plan. As in the case with our proposed team for the IES Child Support Rule Extraction Project, we sourced key staff positions from either internal GCOM or our named MWBE or other Partner Resource pools.

For the IES Child Support Rule Extraction Project we have added senior Child Support program expertise as part of GCOM. While the purpose of this rules extraction project is primarily a technical exercise utilizing State provided tools, the complexity of Child Support programs and legacy Child Support systems can create challenges in understanding the output of the rules extraction process. [redacted]

[redacted]

Both at project start-up and over the course of project execution, our project team is supported by our resource management, recruiting and project management office teams to identify internal or external resources with the pre-requisite skills, experience, and availability to support the project delivery and solution requirements. Steps in our project staffing project are listed below:

- GCOM PM or designated key staff submits a project resource request form to the GCOM Resource Management Team. In the event the position is allocated to a named GCOM MWBE or other Partner, the PM works with the teaming partner engagement manager to source the candidate. The project staffing plan is monitored, and the project resource plan is updated monthly. GCOM's PMs are required to initiate the project resource request 90 days prior to planned resource roll-ons.

- GCOM Resource Management Team identifies internal GCOM Resource that are available to support the project based on the project start date.

- Once a candidate is identified, a technical review is conducted to ensure the candidate has or exceeds the skills and technology experience required by the project and/or by the client RFP minimum staff qualifications. If an available internal candidate cannot be located, GCOM resource management and technical recruiting team will be engaged to identify suitable, available candidate and conduct a preliminary technical screening.

- After an initial technical screening, the GCOM PM or key staff designee conducts a project specific technical interview. Candidates that pass the technical issue and that are available to support the project, receive a project briefing inclusive of client, work location, work hours, and detailed position roles and responsibilities. Candidates that are deemed a fit then undergo a personnel screening commensurate with GCOM onboarding and Client security requirements.

- Project resource candidates that pass GCOM project team requirements and human resource background checks are presented to the NYS IES Child Supports PM for review and on-boarding. Key staff positions are subject to client interviews upon request and prior to formal onboarding to the IES/GCOM Child Support Project Team.

As important as identifying and delivering experience resources to the project team, GCOM's project staffing and onboarding process also focuses on a robust project resource orientation process so that new project team members get the knowledge transfer needed to hit the ground running. As illustrated in **Figure 19** , we have a tested process to quickly onboard the new team member and transition inflight activities and accumulated project knowledge to the transitioning in team member.

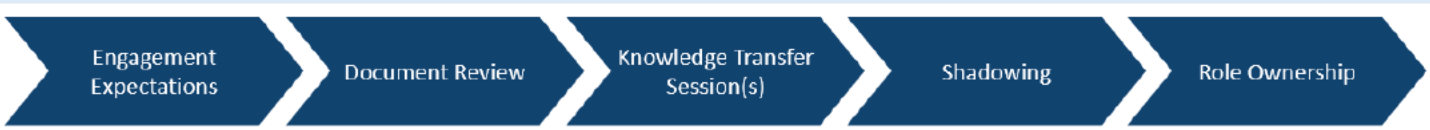


Figure 19 Our Onboarding and Knowledge Transfer Process to Mitigate the Effects of Staff Turnover

The first step in our project staff knowledge transfer is to establish a clear definition of the role—including deliverables and timelines. This serves as the foundation for knowledge transfer and managing performance throughout the engagement. GCOM conducts internal reviews to measure the performance of newly on-boarded staff. Based on this feedback, we can make any necessary adjustments. Similar reviews will occur on a mutually agreed upon timeline.

To begin the assignment, the resources review all documentation related to their role. This can include specifications, training materials, and project plans. When applicable, we will execute knowledge-transfer sessions with other project team members. These can be focused on the project, functions, or technology. If there are individuals performing similar roles, knowledge transfer is facilitated by having the newly assigned team member work alongside the professional already performing the role. During the shadowing process, the incumbent resource can validate the readiness of the new resource using the GCOM proficiency rating criteria. Also, during the shadowing process a senior team member will provide on-the-job training of the Intellisys tool and continue to serve as a “buddy” to help the new team member with their learning curve.

Finally, GCOM members arrive supported by the general onboarding process. This process includes review and knowledge check of GCOM ITS CSMS service delivery framework, program management plans, technical delivery and management processes and procedures, GCOM project management methods as well as the approved, detailed management plan deliverables. We organize these materials in the project documentary repository accessible by all GCOM and Client team members.

C3 Our Approach to Manage Key Personnel Changes

An explanation of how, if selected, the Bidder will manage any change in Key Personnel during the term of the Agreement.

While GCOM does not expect to require any key personnel to be replaced, GCOM has a plan in place to address changes in key resources. Occasionally, Key Personnel will experience a life change, whether departing for a different opportunity or experiencing an unforeseen event. Should either of these scenarios occur, GCOM will begin the process of replacing the team member.

[redacted] the Engagement Manager, will work with [redacted] to understand the key resource’s departure timeline and identify any impacts to project tasks and the overall project schedule. Together, they will create a transition plan for the departing team member. At the same time, Amanda will work with the GCOM Project Management Office to:

- Identify internal candidates that meet and exceed the contract’s Key Personnel requirements,
- Develop a short list of available resources and conduct interviews,
- Determine if any current work assignments exist, and if so, create a roll-off plan to free the resource to join the project.

Infrequently, our PMO will not have an available resource to offer. In this situation, [redacted] will work with Human Resources to identify and pre-screen resources that meet and exceed the requirements. GCOM’s recruiting team consists of two arms: internal recruiting and OnDemand. Both offices are skilled at efficiently and accurately sourcing candidates for project needs and as described in Section C1, offering competitive compensation packages to secure excellent resources.

Once [redacted] has completed the tasks of down-selecting candidates, [redacted] will interview them to ensure they fit the project. Upon selection, [redacted] will work with the State to confirm that the new proposed Key Personnel is reviewed and approved by pertinent NYS IES and ITS stakeholders. Upon approval and requisite background checks, [redacted] and [redacted] will ensure that the departing resource's transition out plan is completed, and the replacement resource receives a sufficient transition-in knowledge transfer from the departing resource as per the transition plan.

GCOM's approach is proven and reliable, and when we have replaced Key Personnel, we have experienced little to no impact to the project schedule.

C4 How We Ensure a Successful Project

- *An explanation of how the Bidder's staffing plan will be used to ensure a successful project*

GCOM's staffing plan, as described in this response, is based on a combination of our direct experience with similarly situated work with New York State, our close partnership with EvolveWare and existing industry recommended practices. Each of these factors contribute to our staffing plan providing project success.

Given GCOM's previous and current work supporting Business Rules Extraction for New York State, we are positioned to include key team members with direct prior experience. This staffing approach affords us the unique opportunity to leverage knowledge gained and working relationships to create the staffing plan in this proposal fashioned to ensure project success.

A frequent staffing area challenge is the distribution of similar responsibilities across multiple teams, which requires coordination of processes and outputs. GCOM's experience with prior projects and our EvolveWare partnership uniquely position GCOM to create a staffing plan that addresses and fully mitigates this concern.

We have carefully reviewed the project definition and scope as described in the RFP as well as the information provided in the Q&A process. We are confident our staffing plan both aligns with the RFP requirements and is firmly based on our prior experience in a manner to provide a successful Business Rules Extraction project.

Section D: Bidder Reference Form

The Bidder must submit a minimum of three (3) references to demonstrate recent experience. The Bidder must use the form below to provide reference information for past successful engagements to verify experience described in Bidder's Technical Proposal. References must verify the Bidder's ability to successfully perform and deliver technology services. References must be reachable by e-mail and listed in order of preference. The Bidder shall be solely responsible for providing contact names and phone numbers for each Bidder Reference who are willing to serve as a reference for the Bidder and who are readily available to be contacted by the State. Additional references must be provided by the Bidder, in the event that any references listed below are unreachable.

Please note that references will not be scored separately but may be used to confirm information provided in the technical proposal.

GCOM is proud of both our past performance and our track record of repeat engagement with our clients. Below we provide 4 client references. We have specifically selected projects where GCOM has performed similar system planning and requirements analysis deliverables.

Table 16 below summarizes our submitted client references.

[redacted]

For each reference, the detailed reference form is provided below.

D1 Reference #1: Florida Department of Law Enforcement

Bidder Project Reference # 1	
Name of the Client Firm:	Florida Department of Law Enforcement (FDLE)
Briefly describe the type and scope of services of the engagement.	Modernization of a legacy Criminal History Application from a Mainframe to a COTS product - CRRMS (Criminal Record Repository Management System). CRRMS is Java/JEE based system built architected using Service-Oriented-Architecture. To provide the highest level of services possible to the citizens of Florida, the Florida Department of Law Enforcement (FDLE) created a project to replace its Unisys

Bidder Project Reference # 1				
	Mainframe based Computerized Criminal History (CCH) system. The goal was to modernize its 40-year-old CCH system that would be customized to meet the State of Florida's needs. Florida selected GCOM to build the system based on our experience implementing similar systems for other states including New York. GCOM successfully implemented the system on time and within budget. GCOM is maintaining and supporting the system currently. Even though the high-level requirements were documented in the RFP and SMEs were available to provide business rules, due to the complexity of the system, FDLE decided to validate the requirements for some of the core modules against the existing system i.e. COBOL and DMS II database. The idea was to make sure that all requirements were covered in the system Use Cases, and the new system was complete from all aspects. GCOM's BAs worked with the FDLE COBOL Programmer to understand those rules and sometimes extracted the business rules from the source code. The requirements from the COBOL programs were documented in FDLE JIRA and captured as part of the Requirement Traceability Matrix (RTM). The overall duration of the requirement gathering phase was close to 8 months.			
Was the engagement successfully completed on time and on budget? **(if no, please explain)**	Yes			
List any proposed key staff resources in the PBITS Mini-bid and their involvement in the past project:	N/A			
Engagement Budget:	$16,945,631.00 including support			
Engagement term:	Start Date: (Month/Year)	September 2015	End Date: (Month/Year)	Ongoing
Reference Name and Title:	[redacted]			
Phone Number:	[redacted]	Email:	[redacted]	

D2 Reference #2: New York State Department of Criminal Justice Services

Bidder Project Reference # 2	
Name of the Client Firm:	New York State Department of Criminal Justice Services (NYS DCJS)
Briefly describe the type and scope of services of the engagement.	This goal of this project was to migrate existing criminal justice domain applications from Forte to a new Java/JEE based platform. GCOM was also tasked with business process reengineering with the help of NYS DCJS business domain experts. GCOM, while working with the NYS DCJS technical team, designed,

	developed and tested 10+ applications. GCOM was also responsible for performing non-functional testing such as performance testing, failure, failover testing. GCOM developed message switches to communicate with external agencies such as NLETS and the FBI. NYS DCJS planned to migrate their applications from Forte and Mainframe applications to Java/JEE based applications. GCOM worked with DCJS business teams as well as the technical team to develop technical platforms and to transform current Forte and Mainframe COBOL applications. The idea was to develop a technical platform, i.e., eJusticeNY using Java/JEE and IBM technology stack and then modernize existing applications to deploy on this platform. GCOM worked with various Law Enforcement agencies like NYS DCJS, NYS Police, NYS Department of Corrections and Community Supervision (OCCS), and Homeland Security, etc. to transform their existing, as well as new applications to the new platform. Even though NYS DCJS decided to use an iterative methodology to develop applications and conduct requirements through JAD sessions, many of the SMEs were busy with day-to-day activities. Sometimes, it was required to validate the business rules with SMEs to make sure that valid requirements have captured. The requirements were documented in the “To-Be” Use Cases and were reviewed and approved by SMEs. The requirements were also captured in IBM Rational ReqPro to capture Requirement Traceability Matrix (RTM). As part of the Forte migration, GCOM Programmer Analysts worked with Forte Source code to understand the business rules. There were at least 20 modules and each module had thousands of lines of code. The approach taken here was similar to the RFP requirement, where legacy source code was used to validate the requirements and make sure no requirements are missed. The second migration was from Unisys Mainframe COBOL, GCOM team worked with COBOL Programmers and DCJS SMEs to document Use Cases. The approach here was similar to Forte migration i.e. validate the requirements against legacy systems to make sure all valid requirements are captured and verified. The scope of the work was similar to this RFP. The requirement gathering was done at various stages of the application development lifecycle. The overall duration was close to two years (just requirement gathering for various modules).
Was the engagement successfully completed on time and on budget? **(if no, please explain)**	Yes
List any proposed key staff resources in the PBITS Mini-bid and their involvement in the past project:	N/A
Engagement Budget:	$30,000,000

Engagement term:	Start Date: (Month/Year)	December 2009	End Date: (Month/Year)	March 2014

Reference Name and Title:	[redacted]		
Phone Number:	[redacted]	Email:	[redacted]

D3 Reference #3: Iowa Medicaid Management Information Systems (MMIS)

Bidder Project Reference # 3	
Name of the Client Firm:	Noridian Healthcare Solutions (in support of the Iowa MMIS project)
Briefly describe the type and scope of services of the engagement.	This project represents S2Tech direct experience supporting system development, implementation, and maintenance for the Iowa Medicaid Management Information Systems (MMIS) solution. For over 17 years, S2Tech has been providing resources in support of requirements validation, design sessions, data conversion, testing support, system development and maintenance/operational support of the Iowa MMIS. Recently, the Iowa Department of Human Services (DHS) decided to take the first step in modernizing the existing MMIS by leveraging their existing investment into mainframe technologies, while incrementally working towards replacement of modules based off a modularity roadmap. The S2Tech team supported Iowa Medicaid Enterprise (IME) in it initiative and integrated hawk-i (CHIP) system components into the MMIS. S2Tech provided the technical development resources for this project. S2Tech has had an opportunity to work on numerous successful enhancement projects; each of which included a testing and quality assurance component to ensure the successful implementation of the enhancement. An example of the enhancements includes: Point-of-sale conversion, NPI implementation, EDI 5010 conversion/implementation, ICD-10 implementation, T-MSIS implementation, and Iowa Health Link project. S2Tech currently has various resources supporting the Iowa Medicaid Enterprise project including data architects, system team leads/developers, and quality assurance resources supporting: Project planning, Project management and administration, Issue management, Risk management, Requirements definition and analysis, Architecture and design, Development and system testing, Enhancement implementation and implementation support, Systems operations and maintenance.
Was the engagement successfully completed on time and on budget? **(if no, please explain)**	Yes
List any proposed key staff resources in the PBITS Mini-bid and their involvement in the past project:	N/A

Engagement Budget:	$1,000,000+			
Engagement term:	Start Date: (Month/Year)	June 2004	End Date: (Month/Year)	Present
Reference Name and Title:	[redacted]			
Phone Number:	[redacted]	Email:	[redacted]	

D4 Reference #4: Missouri Medicaid Management Information Systems (MMIS)

Bidder Project Reference #4				
Name of the Client Firm:	Wipro/InfoCrossing (in support of the Missouri MMIS project)			
Briefly describe the type and scope of services of the engagement.	S2Tech provides resources in support of application development and managed services for the Missouri Medicaid Management Information System. Our resources have supported validating business requirements and creating rule sets, interface development, workflow configuration, testing services, data conversion, and operation and maintenance support. Additional detail on those services is provided below: • Development of multiple Interfaces • Analyze and document complex system requirements • Estimate software development costs and completion schedules • Develop design specifications for program code modification • Code software modifications and perform unit, system, and integration testing • VSAM to DB2 Data Conversion • Planning and estimation for data conversion • ETL Mapping and Data Modelling for data conversion • Development of ETL flow for VSAM to DB2 data conversion • Support system application maintenance and operations on an ongoing basis			
Was the engagement successfully completed on time and on budget? **(if no, please explain)**	Yes			
List any proposed key staff resources in the PBITS Mini-bid and their involvement in the past project:	N/A			
Engagement Budget:	$1,000,000+			
Engagement term:	Start Date: (Month/Year)	October 2006	End Date: (Month/Year)	Present
Reference Name and Title:	[redacted]			

Phone Number:	[redacted]	Email:	[redacted]

(Bidders: copy & paste the above table for additional entries as needed)

Section E: Minimum Qualifications (Consultants)

*Name the **one** proposed consultant for each role using the form below. Describe in detail how the consultant meets the desired Qualifications (on what projects/systems/software/etc.) and where, when and how long the consultant worked on a specific project using the specified software/technology. Please provide clear and accurate descriptions of the consultant's experience as it relates to Section 3.3 Project Consulting Key Personnel Requirements. Consultants with 8 or more years of experience and with experience similar to the scope of this PBITS, including experience with Child Support, will be scored more favorably. Type to expand response areas on the form. Résumés must not be submitted.*

Job functions/descriptions for the following key personnel can be found in section 3.3, Project Consulting Key Personnel Requirements, of the Child Support Management System Legacy Rules Extraction mini-bid document. Please note, contacts listed may be contacted to confirm the information provided in the tables below.

Please note, you may add more projects as necessary to show the consultant meets the experience requirements.

GCOM proposed key staff meet or exceed the Section 3.3 Project Consulting Key Personnel Requirements as shown in **Table 17**.

[redacted]

[redacted]

E1 Business Analyst Lead

Business Analyst Lead (or vendor title equivalent)	
Job Function / Description: - Designs solutions based on customer needs and technical considerations. - Analyzes job tasks, organizational structures and user requirements to provide system-wide solutions. - Applies analytical expertise to assist in defining, analyzing, validating and documenting complex operating environments, states of technology and current processes.	**Proposed Consultant Name:** [redacted]
Requirement 1: 8 years' experience desired with providing specialized knowledge of system requirements and programming specifications. Knowledge of the Business Analysis Body of Knowledge (BABOK).	
Dates (month/year) of Experience:	[redacted]
Company Name(s):	
Contact Name(s) and Title(s):	
Contact email:	

Project(s) Name and Description: Description of Consultant's roles and responsibilities on the project(s) related to this requirement:	[redacted]
Dates (month/year) of Experience:	
Company Name(s):	
Contact Name(s) and Title(s):	
Contact email:	
Project(s) Name and Description: Description of Consultant's roles and responsibilities on the project(s) related to this requirement:	

	[redacted]
Dates (month/year) of Experience:	
Company Name(s):	
Contact Name(s) and Title(s):	
Contact email:	
Project(s) Name and Description: Description of Consultant's roles and responsibilities on the project(s) related to this requirement:	

	[redacted]
Dates (month/year) of Experience:	
Company Name(s):	
Contact Name(s) and Title(s):	
Contact email:	
Project(s) Name and Description: Description of Consultant's roles and responsibilities on the project(s) related to this requirement:	
Dates (month/year) of Experience:	
Company Name(s):	
Contact Name(s) and Title(s):	
Contact email:	
Project(s) Name and Description: Description of Consultant's roles and responsibilities on the project(s) related to this requirement:	

	[redacted]
Dates (month/year) of Experience:	[redacted]
Company Name(s):	[redacted]
Contact Name(s) and Title(s):	[redacted]
Contact email:	[redacted]
Project(s) Name and Description: Description of Consultant's roles and responsibilities on the project(s) related to this requirement:	[redacted]

	[redacted]
Dates (month/year) of Experience:	[redacted]
Company Name(s):	[redacted]
Contact Name(s) and Title(s):	[redacted]
Contact email:	[redacted]
Project(s) Name and Description: Description of Consultant's roles and responsibilities on the project(s) related to this requirement:	[redacted]

	[redacted]

E2 Technical Lead

Technical Lead (or vendor title equivalent)	
Job Function / Description: - Leads or assists in the design of program specifications and the implementation of software solutions within a mainframe environment. - Assist with interpreting / translating COBOL code to non-technical business rule descriptions. - Provides specialized knowledge of complex customer processes and requirements and applies technical expertise to assist in defining, analyzing, validating and documenting complex operating environments.	**Proposed Consultant Name:** [redacted]

Requirement 1: 8 years' experience desired with writing application software, data analysis, data access, data structures, data manipulation, databases, programming, testing and implementation, technical and user documentation, and software conversions.

Dates (month/year) of Experience:	[redacted]
Company Name(s):	
Contact Name(s) and Title(s):	
Contact email:	
Project(s) Name and Description: Description of Consultant's roles and responsibilities on the project(s) related to this requirement:	

	[redacted]
Dates (month/year) of Experience:	[redacted]
Company Name(s):	[redacted]
Contact Name(s) and Title(s):	[redacted]
Contact email:	[redacted]
Project(s) Name and Description: Description of Consultant's roles and responsibilities on the project(s) related to this requirement:	[redacted]

[redacted]

New York State of Opportunity | Office of Information Technology Services

E3 Project Manager Lead

Project Manager Lead (or vendor title equivalent)	
Job Function / Description: - Coordinates and delegates the assignments for the consultant project staff numbering over 20; - The focal point of contact for Requesting Agency regarding project status, meetings, reporting requirements, scope changes, and financial, administrative, and technical issues and concerns raised by consultant staff or Requesting Agency.	**Proposed Consultant Name:** [redacted]

Requirement 1: 8 years' experience desired in overseeing and managing medium to large scaled projects comprised of sub-projects and distinct deliverables, often comprising a program with multiple work streams. Knowledge of the Project Management Body of Knowledge (PMBOK).

Dates (month/year) of Experience:	[redacted]
Company Name(s):	
Contact Name(s) and Title(s):	
Contact email:	
Project(s) Name and Description: **Description of Consultant's roles and responsibilities on the project(s) related to this requirement:**	

Dates (month/year) of Experience:	[redacted]
Company Name(s):	
Contact Name(s) and Title(s):	
Contact email:	
Project(s) Name and Description: **Description of Consultant's roles and responsibilities on the project(s) related to this requirement:**	
Dates (month/year) of Experience:	
Company Name(s):	
Contact Name(s) and Title(s):	
Contact email:	
Project(s) Name and Description: **Description of Consultant's roles and responsibilities on the project(s) related to this requirement:**	

	[redacted]
Dates (month/year) of Experience:	
Company Name(s):	
Contact Name(s) and Title(s):	
Contact email:	
Project(s) Name and Description: **Description of Consultant's roles and responsibilities on the project(s) related to this requirement:**	

Dates (month/year) of Experience:	[redacted]
Company Name(s):	
Contact Name(s) and Title(s):	
Contact email:	
Project(s) Name and Description of Consultant's roles and responsibilities on the project(s) related to this requirement::	
Dates (month/year) of Experience:	
Company Name(s):	
Contact Name(s) and Title(s):	
Contact email:	
Project(s) Name and Description: **Description of Consultant's roles and responsibilities on the project(s) related to this requirement:**	

	[redacted]
Dates (month/year) of Experience:	
Company Name(s):	
Contact Name(s) and Title(s):	
Contact email:	

Project(s) Name and Description: **Description of Consultant's roles and responsibilities on the project(s) related to this requirement:**	[redacted]
Dates (month/year) of Experience:	
Company Name(s):	
Contact Name(s) and Title(s):	
Contact email:	
Project(s) Name and Description: **Description of Consultant's roles and responsibilities on the project(s) related to this requirement:**	

	[redacted]
Dates (month/year) of Experience:	
Company Name(s):	
Contact Name(s) and Title(s):	
Contact email:	

Project(s) Name and Description: **Description of Consultant's roles and responsibilities on the project(s) related to this requirement:**	[redacted]

E4 Analyst

Analyst (or vendor title equivalent) Job Function / Description: - Assumes responsibility for the quality of engagement milestones and deliverables. - Conducts analysis of deliverables to satisfy quality and acceptance requirements in Deliverable Management Plan, including but not limited to ensuring the deliverable is consumable and written in business terms.	**Proposed Consultant Name:** [redacted]
Requirement 1: 4 years' experience desired with specialized knowledge of system requirements and programming specifications. Analyzing job tasks, organizational structure and user requirements to provide system-wide solutions. Applies analytical expertise to assist in defining, analyzing, validating and documenting complex operating environments, states of technology and current processes.	
Dates (month/year) of Experience:	[redacted]

Company Name(s):	[redacted]
Contact Name(s) and Title(s):	[redacted]
Contact email:	[redacted]
Project(s) Name and Description: Description of Consultant's roles and responsibilities on the project(s) related to this requirement:	[redacted]
Dates (month/year) of Experience:	[redacted]
Company Name(s):	[redacted]
Contact Name(s) and Title(s):	[redacted]
Contact email:	[redacted]
Project(s) Name and Description: Description of Consultant's roles and responsibilities on the project(s) related to this requirement:	[redacted]

	[redacted]
Dates (month/year) of Experience: Company Name(s):	
Contact Name(s) and Title(s):	
Contact email:	
Project(s) Name and Description: Description of Consultant's roles and responsibilities on the project(s) related to this requirement:	
Dates (month/year) of Experience:	
Company Name(s):	
Contact Name(s) and Title(s):	
Contact email:	
Project(s) Name and Description: Description of Consultant's roles and responsibilities on the project(s) related to this requirement:	
Dates (month/year) of Experience:	
Company Name(s):	
Contact Name(s) and Title(s):	
Contact email:	
Project(s) Name and Description: Description of Consultant's roles and responsibilities on the project(s) related to this requirement:	
Dates (month/year) of Experience:	

Company Name(s):	[redacted]
Contact Name(s) and Title(s):	
Contact email:	
Project(s) Name and Description: Description of Consultant's roles and responsibilities on the project(s) related to this requirement:	
Dates (month/year) of Experience:	
Company Name(s):	
Contact Name(s) and Title(s):	
Contact email:	
Project(s) Name and Description: Description of Consultant's roles and responsibilities on the project(s) related to this requirement:	

NEW YORK STATE OF OPPORTUNITY. | Office of Information Technology Services

	[redacted]
Dates (month/year) of Experience:	
Company Name(s):	
Contact Name(s) and Title(s):	
Contact email:	
Project(s) Name and Description: Description of Consultant's roles and responsibilities on the project(s) related to this requirement:	
Dates (month/year) of Experience:	
Company Name(s):	
Contact Name(s) and Title(s):	
Contact email:	
Project(s) Name and Description: Description of Consultant's roles and responsibilities on the project(s) related to this requirement:	

	[redacted]
Dates (month/year) of Experience:	
Company Name(s):	
Contact Name(s) and Title(s):	
Contact email:	
Project(s) Name and Description: Description of Consultant's roles and responsibilities on the project(s) related to this requirement:	
Dates (month/year) of Experience:	

NEW YORK STATE OF OPPORTUNITY. | Office of Information Technology Services

Company Name(s):	[redacted]
Contact Name(s) and Title(s):	
Contact email:	
Project(s) Name and Description: Description of Consultant's roles and responsibilities on the project(s) related to this requirement:	

	[redacted]
Dates (month/year) of Experience:	
Company Name(s):	
Contact Name(s) and Title(s):	
Contact email:	
Project(s) Name and Description: Description of Consultant's roles and responsibilities on the project(s) related to this requirement:	

	[redacted]
Dates (month/year) of Experience:	[redacted]
Company Name(s):	[redacted]
Contact Name(s) and Title(s):	[redacted]
Contact email:	[redacted]
Project(s) Name and Description: Description of Consultant's roles and responsibilities on the project(s) related to this requirement:	[redacted]

	[redacted]

Exhibit 1: Microsoft Project Schedule

GCOM has provided our loaded Project Schedule as a separate attachment titled Child Support Legacy Rules Extraction Schedule.mpp.

NYS Office of Information Technology Services

Child Support Management System Legacy Rules Extraction

ITS-PBITS-2021-41SM

April 27, 2021 2:00 PM

Administrative/Financial Proposal

Prepared By:

GCOM

GCOM Albany

300 Great Oaks Blvd, Suite 300, Albany NY 12203

Contents

Attachment 1 – PBITS Submission Checklist

NEW YORK STATE OF OPPORTUNITY. | Office of Information Technology Services

NYS OFFICE OF INFORMATION TECHNOLOGY SERVICES
ESP, SWAN STREET BLDG., CORE 4, 2ND FLOOR, ROOM 2404
ALBANY, NY 12223

PBITS MINI-BID # ITS-PBITS-2021-41SM

CHILD SUPPORT MANAGEMENT SYSTEM LEGACY RULES EXTRACTION

Attachment 1 - PBITS SUBMISSION CHECKLIST

Please submit the following documents as part of the mini-bid proposal submission. All items must be submitted together electronically via e-mail to: its.sm.BestValue@its.ny.gov

Admin/Financial Proposal	Check for Yes	Notes
Title Page and Table of Contents	☑	
Attachment 1 – PBITS Submission Checklist *(This form must be submitted with the proposal, and be signed by the vendor)*	☑	
Attachment 2 – Non-Collusive Bidding Certification *(This form must be submitted with the proposal, signed and notarized by the vendor)*	☑	
Attachment 3 - Subcontractor Information	☑	
Attachment 4 – Form A/B Consultant Disclosure *(Form A is to be submitted with proposal; Form B is for reference)*	☑	
Attachment 5 -PBITS Financial Response *(Contactor must fill in Bidder Legal Name, Equivalent Vendor Title, Total Hours, Not-to-Exceed NYS Contract Hourly Rate, and Total Min-Bid Hourly Rate. Deliverable Summary will auto-populate, no information should be entered on this tab.)*	☑	
Attachment 8 – PBITS Non-Disclosure Agreement	☑	
Attachment 9 - FTI Appendix 2017	☑	
Attachment 10 - NYS DTF Tax form 202	☑	

Attachment 12- SDVOB Utilization Plan	☑	
Attachment 13 - Sexual Harassment Prevention Certification	☑	
MWBE & EEO COMPLIANCE FORMS: • **MWBE 100 Utilization Plan** • **EEO-100 Staffing Plan** • **EEO-101 Work Force Utilization/Diversity Report** • **MWBE Equal Employment Opportunity Form 4** *(All forms listed must be signed by the vendor and submitted)* **ALL FORMS ARE AVAILABLE AT:** https://its.ny.gov/minority-and-womens-business-enterprise-mwbe-supplier-diversity-program	☑	
Proof of all required Insurance *(Proof of insurance is provided on the insurance matrix from OGS, ITS does not have any additional insurance requirements.)*	☑	

Technical Proposal	Check for Yes	Notes
Attachment 6 – PBITS Technical Response *(This form must be submitted as part of the proposal; signed and notarized by the Bidder. The Bidder must submit items A, B, C, D, and E listed below in the sections located in Attachment 6.)*	☑	
Section A: Experience and Qualifications • **Executive Summary** • **Company Background**	☑	
Section B: Project Technical Approach, Proposed Project Work Plan and Timeline • **Project Technical Approach** • **Proposed Project Work Plan** • **Proposed Project Timeline**	☑	
Section C: Staffing Management Plan	☑	
Section D: Bidder Reference Form	☑	
Section E: Key Personnel Requirements	☑	

The selected Vendor will be required to submit the following form before services can begin:

Exhibit 1 - NDA Onboarding *(This needs to be filled out by vendor and signed and notarized after an award is made prior to the consultant/s starting work)*	N/A	GCOM will provide Exhibit 1 prior to beginning services.

Exhibit 14 – OTDA Non-Disclosure Agreement *(This needs to be filled out by vendor and signed and notarized after an award is made prior to the consultant/s starting work)*	N/A	GCOM will provide Exh bit 1 prior to beginning services.

Name of Bidder (Firm Name): GCOM Software LLC

Title of Signatory: Chief Financial Officer

Name of Signatory: Paul G. Murray

DocuSigned by:
Paul G. Murray
ED31518EA13E4B6...
Signature

4/1/2021
Date

Attachment 2 – Non-Collusive Bidding Certification

NON-COLLUSIVE BIDDING CERTIFICATION REQUIRED BY SECTION 139-D OF THE STATE FINANCE LAW

SECTION 139-D, Statement of Non-Collusion in bids to the State:

BY SUBMISSION OF THIS BID, BIDDER AND EACH PERSON SIGNING ON BEHALF OF BIDDER CERTIFIES, AND IN THE CASE OF JOINT BID, EACH PARTY THERETO CERTIFIES AS TO ITS OWN ORGANIZATION, UNDER PENALTY OF PERJURY, THAT TO THE BEST OF HIS/HER KNOWLEDGE AND BELIEF:

[1] The prices of this bid have been arrived at independently, without collusion, consultation, communication, or agreement, for the purposes of restricting competition, as to any matter relating to such prices with any other Bidder or with any competitor;

[2] Unless otherwise required by law, the prices which have been quoted in this bid have not been knowingly disclosed by the Bidder and will not knowingly be disclosed by the Bidder prior to opening, directly or indirectly, to any other Bidder or to any competitor; and

[3] No attempt has been made or will be made by the Bidder to induce any other person, partnership or corporation to submit or not to submit a bid for the purpose of restricting competition.

A BID SHALL NOT BE CONSIDERED FOR AWARD NOR SHALL ANY AWARD BE MADE WHERE [1], [2], [3] ABOVE HAVE NOT BEEN COMPLIED WITH; PROVIDED HOWEVER, THAT IF IN ANY CASE THE BIDDER(S) CANNOT MAKE THE FOREGOING CERTIFICATION, THE BIDDER SHALL SO STATE AND SHALL FURNISH BELOW A SIGNED STATEMENT WHICH SETS FORTH IN DETAIL THE REASONS THEREFORE:

Subscribed to under penalty of perjury under the laws of the State of New York, this 30th day of March, 2021 as the act and deed of said corporation of partnership.

STATE OF Maryland}

} SS

COUNTY OF Howard}

On the 30th day of March in the year of 2021, before me personally appeared Paul G. Murray, personally known to me or proved to me on the basis of satisfactory evidence to be the individual whose name is subscribed to the foregoing Non-collusive Bidding Certification (instrument) and acknowledged to me that he/she executed the same in his/her capacity, and on his/her own behalf.

JACQUELINE BLANK
Notary Public-Maryland
Howard County
My Commission Expires
August 29, 2021

Notary Public

Registration No:

IF BIDDER(S) (ARE) A PARTNERSHIP, COMPLETE THE FOLLOWING:

NAMES OF PARTNERS OR PRINCIPALS	LEGAL RESIDENCE
GANTECH Acquisition Corp.	1209 Orange Street Wilmington, DE 19801

IF BIDDER(S) (ARE) A CORPORATION, COMPLETE THE FOLLOWING:

NAME	LEGAL RESIDENCE
President:	
Secretary:	
Treasurer:	

Identifying Data

Potential Contractor GCOM Software LLC

Address 300 Great Oaks Blvd. Suite 300
Street
Albany, NY 12203
City, Town, etc.

Telephone 518-869-1671

(If applicable, Responsible Corporate Officer)

Name Paul G. Murray

Title Chief Financial Officer

Signature Paul G. Mur

Joint or combined bids by companies or firms must be certified on behalf of each participant.

Legal name of person, firm or corporation	Legal name of person, firm or corporation
By ______ Name	______ Name
______ Title	______ Title
Address ______ Street	Address ______ Street
City State	City State

Attachment 3 - Subcontractor Information

PBITS MINI-BID # ITS-PBITS-2021-41SM

CHILD SUPPORT MANAGEMENT SYSTEM LEGACY RULES EXTRACTION

Attachment 3 - SUBCONTRACTOR INFORMATION FORM

Note: Copy and paste the table below to provide information for each additional Subcontractor proposed.

Subcontractor Legal Information			
Business Name:	Seven Seas Technologies, Inc., DBA S2Tech		
Business Address:	720 Spirit 40 Park Dr. Chesterfield, MO 63005		
Federal EIN Tax ID:	[redacted]	**NYS Vendor ID:**	[redacted]
MWBE/SDVOB /SBE			
Primary contact Information			
Name and Title:	[redacted]		
Address:	[redacted]		
E-mail:	[redacted]		
Parent Company Legal Information			
Business name:	[redacted]		
Federal EIN Tax ID:	[redacted]		
Subcontractor Corporate Business Profile			
Subcontractor involvement in this PBITS engagement:	Staff augmentation for COBOL and Business Analyst resource positions.		
Description of Subcontractor core business profile:	For over two decades, S2Tech has gained a reputation for providing IT services to both government and commercial healthcare sectors throughout the United States. During this period, S2Tech has served thirty-seven (37) states providing support on over one hundred and thirty-five (135) projects.		
Subcontractor Service Offerings:			

Description of service	**Number of Years Services Provided**
IT Developers supporting both legacy or newer technologies	23
Business analysts to define requirements and transform business processes	23

(note: insert additional rows above for service description if needed)

NEW YORK STATE OF OPPORTUNITY. | Office of Information Technology Services

PBITS MINI-BID # ITS-PBITS-2021-41SM

CHILD SUPPORT MANAGEMENT SYSTEM LEGACY RULES EXTRACTION

Attachment 3 - SUBCONTRACTOR INFORMATION FORM

Note: Copy and paste the table below to provide information for each additional Subcontractor proposed.

Subcontractor Legal Information			
Business Name:	ACS CONSULTANCY SERVICES, INC.		
Business Address:	952 Troy Schenectady Rd, Suite #106 Latham, NY -12110		
Federal EIN Tax ID:	[redacted]	**NYS Vendor ID:**	[redacted]
MWBE/SDVOB /SBE	MBE, WBE, SBE		
Primary contact Information			
Name and Title:	[redacted]		
Address:	[redacted]		
E-mail:	[redacted]		
Parent Company Legal Information			
Business name:			
Federal EIN Tax ID:		**NYS Vendor ID:**	
Subcontractor Corporate Business Profile			
Subcontractor involvement in this PBITS engagement:			
Description of Subcontractor core business profile:			
Subcontractor Service Offerings:	**Description of service**	**Number of Years Services Provided**	
	(note: insert additional rows above for service description if needed)		

PBITS MINI-BID # ITS-PBITS-2021-41SM

CHILD SUPPORT MANAGEMENT SYSTEM LEGACY RULES EXTRACTION

Attachment 3 - SUBCONTRACTOR INFORMATION FORM

Note: Copy and paste the table below to provide information for each additional Subcontractor proposed.

Subcontractor Legal Information			
Business Name:	Nubes Opus, LLC		
Business Address:	107 West 9th St 2nd Floor, Kansas City, MO 64105		
Federal EIN Tax ID:	[redacted]	**NYS Vendor ID:**	[redacted]
MWBE/SDVOB /SBE	SDVOB #201019		
Primary contact Information			
Name and Title:	[redacted]		
Address:			
E-mail:			
Parent Company Legal Information			
Business name:			
Federal EIN Tax ID:		**NYS Vendor ID:**	
Subcontractor Corporate Business Profile			
Subcontractor involvementin this PBITS engagement:	TBD		
Description of Subcontractor core business profile:	**Nubes Opus** is a professional services company providing custom computer programming, architecture, design, development, testing, release, migration, cost and performance optimization of solutions using infrastructure as a service (**IASS**), platform as a service (**PAAS**) and software as a service (**SAAS**).		
Subcontractor Service Offerings:	**Description of service**	**Number of Years Services Provided**	
	Expertise with **modernizing, automating** and **migrating** existing applications, **building new** cloud-based applications, and **transforming** architecture and infrastructure while moving to a new technology operating model.	2 years	
	Our core team are certified AWS **Architects**, **Java, TOGAF** and **PMP** certified professionals with IT and application development experience, including several **Cloud, DevOps & Microservices** based projects.	25 years	
	(note: insert additional rows above for service description if needed)		

Attachment 4 – Form A/B Consultant Disclosure

AC 3271-S (Effective 4/12)

FORM A

New York State Consultant Services
Contractor's Planned Employment
From Contract Start Date Through The End Of The Contract Term

State Agency Name: **Office of the State Comptroller**

State Agency Department ID: 3050000 — Agency Business Unit: OSC01

Contractor Name: GCOM Software LLC — Contract Number: ITS-PBITS-2021-41SM

Contract Start Date: T/B/D — Contract End Date: T/B/D

Employment Category	Number of Employees	Number of hours to be worked	Amount Payable Under the Contract
[redacted]			
Total this page	[redacted]		$10,609,587.86
Grand Total			$10,609,587.86

Name of person who prepared this report: Paul G. Murray

Title: Chief Financial Officer — Phone #: 518-869-1671

Preparer's Signature: DocuSigned by: Paul G. Murray

Date Prepared: 4/27/2021

(Use additional pages, if necessary) — Page 1 of 1

Attachment 5 -PBITS Financial Response

Bidder Legal Name	GCOM Software LLC

Total Project Cost (30% Evaluation Weight)

The purpose of the Cost Proposal is to provide the cost for each deliverable in Section 3.5. For each deliverable group, the Bidder must include the specific titles with cost information. **Bidders should not change the name in the "Mini-Bid Title" section; do not change the names Business Analyst Lead (or vendor title equivalent), Technical Lead (or vendor title equivalent), Project Manager Lead (or vendor title equivalent) or Analyst Key Personnel (or vendor title equivalent) below. Bidders should write any title names in the "Equivalent Vendor Title" section below. Please add any additional rows to account for additional titles needed for each deliverable. Key personnel should be listed for each deliverable.** If Key Personnel are not utilized for a deliverable, please enter a zero in the hours, but do not delete the row. Please Note - the bidder does not need to fill in all rows with "Equivalent Vendor Titles", if additional personnel are not needed in each Role. If there are any extra rows for Business Analyst Lead (or vendor title equivalent), Technical Lead (or vendor title equivalent), Project Manager Lead (or vendor title equivalent), or Analyst (or vendor title equivalent), write "N/A" in the Equivalent Vendor Title" and put a "0" in "Total Hours", "Not-to-Exceed NYS Contract Hourly Rate" and "Total Mini-Bid Hourly Rate". Travel reimbursement will not be provided under this agreement. The figures from the Contractor's cost proposal below will automatically fill the blank cell formulas in "Total Cost Per Category", "Total Deliverable Cost Minus Retainage" and the "Deliverable Summary" tab. Bidders are responsible for making sure the calculations are correct.

Total Fixed Price for the Project:	$ 10,609,587.86
Total Fixed Price Minus Retainage for the Project (85%):	$ 9,018,149.68

Section 3.5 Microsoft Project Schedule

Mini-Bid Title (See Section 3.3)	Equivalent Vendor Title	Total Hours	Not-to-Exceed NYS Contract Hourly Rate	Total Mini-Bid Hourly Rate	Total Cost Per Category
Business Analyst Lead (or vendor title equivalent)	[redacted]				
Business Analyst Lead (or vendor title equivalent)					
Business Analyst (or vendor title equivalent)					
Technical Lead (or vendor title equivalent)					
Technical (or vendor title equivalent)					
Technical (or vendor title equivalent)					
Project Manager Lead (or vendor title equivalent)					
Project Manager (or vendor title equivalent)					
Project Manager (or vendor title equivalent)					
Analyst Key Personnel (or vendor t tle equivalent)					
Analyst (or vendor title equivalent)					
Analyst (or vendor title equivalent)					

Section 3.5 Deliverable Management Plan

Mini-Bid Title (See Section 3.3)	
Business Analyst Lead (or vendor title equivalent)	
Business Analyst Lead (or vendor title equivalent)	
Business Analyst (or vendor title equivalent)	
Technical Lead (or vendor title equivalent)	
Technical (or vendor title equivalent)	
Technical (or vendor title equivalent)	
Project Manager Lead (or vendor title equivalent)	
Project Manager (or vendor title equivalent)	
Project Manager (or vendor title equivalent)	
Analyst Key Personnel (or vendor t tle equivalent)	
Analyst (or vendor title equivalent)	
Analyst (or vendor title equivalent)	

Section 3.5 USE Case Documents for CSMS NYC a

Mini-Bid Title (See Section 3.3)	
Business Analyst Lead (or vendor title equivalent)	
Business Analyst (or vendor title equivalent)	
Business Analyst (or vendor title equivalent)	
Technical Lead (or vendor title equivalent)	
Technical (or vendor title equivalent)	
Technical (or vendor title equivalent)	
Technical (or vendor title equivalent)	
Technical (or vendor title equivalent)	
Project Manager Lead (or vendor title equivalent)	
Project Manager (or vendor title equivalent)	
Project Manager (or vendor title equivalent)	
Analyst Key Personnel (or vendor t tle equivalent)	
Analyst (or vendor title equivalent)	
Analyst (or vendor title equivalent)	

[redacted]

Section 3.5 USE Case Documents for CSMS NYC and Upstate Subsystems - Deliverable 4 - BATCH ACCTING					
Mini-Bid Title (See Section 3.3)	Equivalent Vendor Title	Total Hours	Not-to-Exceed NYS Contract Hourly Rate	Total Mini-Bid Hourly Rate	Total Cost Per Category
Business Analyst Lead (or vendor title equivalent)	[redacted]				
Business Analyst (or vendor title equivalent)	[redacted]				
Business Analyst (or vendor title equivalent)	[redacted]				
Technical Lead (or vendor title equivalent)	[redacted]				
Technical (or vendor title equivalent)	[redacted]				
Technical (or vendor title equivalent)	[redacted]				
Technical (or vendor title equivalent)	[redacted]				
Technical (or vendor title equivalent)	[redacted]				
Project Manager Lead (or vendor title equivalent)	[redacted]				
Project Manager (or vendor title equivalent)	[redacted]				
Project Manager (or vendor title equivalent)	[redacted]				
Analyst Key Personnel (or vendor t tle equivalent)	[redacted]				
Analyst (or vendor title equivalent)	[redacted]				
Analyst (or vendor title equivalent)	[redacted]				
[redacted]					

Section 3.5 USE Case Documents for CSMS NYC a [redacted]
Mini-Bid Title (See Section 3.3)
Business Analyst Lead (or vendor title equivalent)
Business Analyst (or vendor title equivalent)
Business Analyst (or vendor title equivalent)
Technical Lead (or vendor title equivalent)
Technical (or vendor title equivalent)
Technical (or vendor title equivalent)
Technical (or vendor title equivalent)
Technical (or vendor title equivalent)
Project Manager Lead (or vendor title equivalent)
Project Manager (or vendor title equivalent)
Project Manager (or vendor title equivalent)
Analyst Key Personnel (or vendor t tle equivalent)
Analyst (or vendor title equivalent)
Analyst (or vendor title equivalent)
[redacted]

Section 3.5 USE Case Documents for CSMS NYC a [redacted]
Mini-Bid Title (See Section 3.3)
Business Analyst Lead (or vendor title equivalent)
Business Analyst (or vendor title equivalent)
Business Analyst (or vendor title equivalent)
Technical Lead (or vendor title equivalent)
Technical (or vendor title equivalent)
Technical (or vendor title equivalent)
Technical (or vendor title equivalent)
Technical (or vendor title equivalent)
Project Manager Lead (or vendor title equivalent)
Project Manager (or vendor title equivalent)
Project Manager (or vendor title equivalent)
Analyst Key Personnel (or vendor t tle equivalent)
Analyst (or vendor title equivalent)
Analyst (or vendor title equivalent)
[redacted]

Section 3.5 USE Case Documents for CSMS NYC a [redacted]
Mini-Bid Title (See Section 3.3)
Business Analyst Lead (or vendor title equivalent)
Business Analyst (or vendor title equivalent)
Business Analyst (or vendor title equivalent)
Technical Lead (or vendor title equivalent)
Technical (or vendor title equivalent)
Technical (or vendor title equivalent)
Technical (or vendor title equivalent)
Technical (or vendor title equivalent)
Project Manager Lead (or vendor title equivalent)
Project Manager (or vendor title equivalent)
Project Manager (or vendor title equivalent)
Analyst Key Personnel (or vendor t tle equivalent)
Analyst (or vendor title equivalent)

Analyst (or vendor title equivalent)	NA	[redacted]
[redacted]		

Section 3.5 USE Case Documents for CSMS NYC and Upstate Subsystems - Deliverable 8 - BATCH REPORTING

Mini-Bid Title (See Section 3.3)	Equivalent Vendor Title	Total Hours	Not-to-Exceed NYS Contract Hourly Rate	Total Mini-Bid Hourly Rate	Total Cost Per Category
Business Analyst Lead (or vendor title equivalent)	[redacted]				
Business Analyst (or vendor title equivalent)					
Business Analyst (or vendor title equivalent)					
Technical Lead (or vendor title equivalent)					
Technical (or vendor title equivalent)					
Technical (or vendor title equivalent)					
Technical (or vendor title equivalent)					
Technical (or vendor title equivalent)					
Project Manager Lead (or vendor title equivalent)					
Project Manager (or vendor title equivalent)					
Project Manager (or vendor title equivalent)					
Analyst Key Personnel (or vendor t tle equivalent)					
Analyst (or vendor title equivalent)					
Analyst (or vendor title equivalent)					
[redacted]					

Section 3.5 USE Case Documents for CSMS NYC a [redacted]

Mini-Bid Title (See Section 3.3)	[redacted]
Business Analyst Lead (or vendor title equivalent)	
Business Analyst (or vendor title equivalent)	
Business Analyst (or vendor title equivalent)	
Technical Lead (or vendor title equivalent)	
Technical (or vendor title equivalent)	
Technical (or vendor title equivalent)	
Technical (or vendor title equivalent)	
Technical (or vendor title equivalent)	
Project Manager Lead (or vendor title equivalent)	
Project Manager (or vendor title equivalent)	
Project Manager (or vendor title equivalent)	
Analyst Key Personnel (or vendor t tle equivalent)	
Analyst (or vendor title equivalent)	
Analyst (or vendor title equivalent)	
[redacted]	

Section 3.5 USE Case Documents for CSMS NYC a [redacted]

Mini-Bid Title (See Section 3.3)	[redacted]
Business Analyst Lead (or vendor title equivalent)	
Business Analyst (or vendor title equivalent)	
Business Analyst (or vendor title equivalent)	
Technical Lead (or vendor title equivalent)	
Technical (or vendor title equivalent)	
Technical (or vendor title equivalent)	
Technical (or vendor title equivalent)	
Technical (or vendor title equivalent)	
Project Manager Lead (or vendor title equivalent)	
Project Manager (or vendor title equivalent)	
Project Manager (or vendor title equivalent)	
Analyst Key Personnel (or vendor t tle equivalent)	
Analyst (or vendor title equivalent)	
Analyst (or vendor title equivalent)	
[redacted]	

Section 3.5 USE Case Documents for CSMS NYC a [redacted]

Mini-Bid Title (See Section 3.3)	[redacted]
Business Analyst Lead (or vendor title equivalent)	
Business Analyst (or vendor title equivalent)	
Business Analyst (or vendor title equivalent)	
Technical Lead (or vendor title equivalent)	
Technical (or vendor title equivalent)	
Technical (or vendor title equivalent)	
Technical (or vendor title equivalent)	
Technical (or vendor title equivalent)	
Project Manager Lead (or vendor title equivalent)	
Project Manager (or vendor title equivalent)	
Project Manager (or vendor title equivalent)	

Analyst Key Personnel (or vendor t tle equivalent)	[redacted]
Analyst (or vendor title equivalent)	
Analyst (or vendor title equivalent)	

[redacted]

Section 3.5 USE Case Documents for CSMS NYC a	[redacted]
Mini-Bid Title (See Section 3.3)	
Business Analyst Lead (or vendor title equivalent)	
Business Analyst (or vendor title equivalent)	
Business Analyst (or vendor title equivalent)	
Technical Lead (or vendor title equivalent)	
Technical (or vendor title equivalent)	
Technical (or vendor title equivalent)	
Technical (or vendor title equivalent)	
Technical (or vendor title equivalent)	
Project Manager Lead (or vendor title equivalent)	
Project Manager (or vendor title equivalent)	
Project Manager (or vendor title equivalent)	
Analyst Key Personnel (or vendor t tle equivalent)	
Analyst (or vendor title equivalent)	
Analyst (or vendor title equivalent)	

[redacted]

Section 3.5 USE Case Documents for CSMS NYC a	[redacted]
Mini-Bid Title (See Section 3.3)	
Business Analyst Lead (or vendor title equivalent)	
Business Analyst (or vendor title equivalent)	
Business Analyst (or vendor title equivalent)	
Technical Lead (or vendor title equivalent)	
Technical (or vendor title equivalent)	
Technical (or vendor title equivalent)	
Technical (or vendor title equivalent)	
Technical (or vendor title equivalent)	
Project Manager Lead (or vendor title equivalent)	
Project Manager (or vendor title equivalent)	
Project Manager (or vendor title equivalent)	
Analyst Key Personnel (or vendor t tle equivalent)	
Analyst (or vendor title equivalent)	
Analyst (or vendor title equivalent)	

[redacted]

Section 3.5 USE Case Documents for CSMS NYC a	[redacted]
Mini-Bid Title (See Section 3.3)	
Business Analyst Lead (or vendor title equivalent)	
Business Analyst (or vendor title equivalent)	
Business Analyst (or vendor title equivalent)	
Technical Lead (or vendor title equivalent)	
Technical (or vendor title equivalent)	
Technical (or vendor title equivalent)	
Technical (or vendor title equivalent)	
Technical (or vendor title equivalent)	
Project Manager Lead (or vendor title equivalent)	
Project Manager (or vendor title equivalent)	
Project Manager (or vendor title equivalent)	
Analyst Key Personnel (or vendor t tle equivalent)	
Analyst (or vendor title equivalent)	
Analyst (or vendor title equivalent)	

[redacted]

Section 3.5 USE Case Documents for CSMS NYC a	[redacted]
Mini-Bid Title (See Section 3.3)	
Business Analyst Lead (or vendor title equivalent)	
Business Analyst (or vendor title equivalent)	
Business Analyst (or vendor title equivalent)	
Technical Lead (or vendor title equivalent)	
Technical (or vendor title equivalent)	
Technical (or vendor title equivalent)	
Technical (or vendor title equivalent)	
Technical (or vendor title equivalent)	

Project Manager Lead (or vendor title equivalent)	[redacted]
Project Manager (or vendor title equivalent)	[redacted]
Project Manager (or vendor title equivalent)	[redacted]
Analyst Key Personnel (or vendor t tle equivalent)	[redacted]
Analyst (or vendor title equivalent)	[redacted]
Analyst (or vendor title equivalent)	[redacted]
[redacted]	[redacted]

Section 3.5 USE Case Documents for CSMS NYC a	[redacted]
Mini-Bid Title (See Section 3.3)	[redacted]
Business Analyst Lead (or vendor title equivalent)	[redacted]
Business Analyst (or vendor title equivalent)	[redacted]
Business Analyst (or vendor title equivalent)	[redacted]
Technical Lead (or vendor title equivalent)	[redacted]
Technical (or vendor title equivalent)	[redacted]
Technical (or vendor title equivalent)	[redacted]
Technical (or vendor title equivalent)	[redacted]
Technical (or vendor title equivalent)	[redacted]
Project Manager Lead (or vendor title equivalent)	[redacted]
Project Manager (or vendor title equivalent)	[redacted]
Project Manager (or vendor title equivalent)	[redacted]
Analyst Key Personnel (or vendor t tle equivalent)	[redacted]
Analyst (or vendor title equivalent)	[redacted]
Analyst (or vendor title equivalent)	[redacted]
[redacted]	[redacted]

Section 3.5 USE Case Documents for CSMS NYC a	[redacted]
Mini-Bid Title (See Section 3.3)	[redacted]
Business Analyst Lead (or vendor title equivalent)	[redacted]
Business Analyst (or vendor title equivalent)	[redacted]
Business Analyst (or vendor title equivalent)	[redacted]
Technical Lead (or vendor title equivalent)	[redacted]
Technical (or vendor title equivalent)	[redacted]
Technical (or vendor title equivalent)	[redacted]
Technical (or vendor title equivalent)	[redacted]
Technical (or vendor title equivalent)	[redacted]
Project Manager Lead (or vendor title equivalent)	[redacted]
Project Manager (or vendor title equivalent)	[redacted]
Project Manager (or vendor title equivalent)	[redacted]
Analyst Key Personnel (or vendor t tle equivalent)	[redacted]
Analyst (or vendor title equivalent)	[redacted]
Analyst (or vendor title equivalent)	[redacted]
[redacted]	[redacted]

Bidder Legal Name	**GCOM Software LLC**

Total Project Cost (30% Evaluation Weight)

The Deliverable Summary provides overview of each de iverable cost. This table w ll auto-calculate w th formulas from the "Cost Proposal" tab to assist with evaluation and verification of costs.

Total Fixed Price for the Project:	$	10,609,587.86
Total Fixed Price Minus Retainage for the Project (85%):	$	9,018,149.68

Section 3.5 Microsoft Project Schedule

[redacted]	Total Deliverable Cost	[redacted]
	Total Deliverable Cost minus retainage (minus 15%)	

Section 3.5 Deliverable Management Plan

[redacted]	Total Deliverable Cost	[redacted]
	Total Deliverable Cost minus retainage (minus 15%)	

Section 3.5 USE Case Documents for CSMS NYC and Upstate Subsystems - Deliverable 3 - ASSETS BATCH

[redacted]	Total Deliverable Cost	[redacted]
	Total Deliverable Cost minus retainage (minus 15%)	

Section 3.5 USE Case Documents for CSMS NYC and Upstate Subsystems - Deliverable 4 - BATCH ACCTING

[redacted]	Total Deliverable Cost	[redacted]
	Total Deliverable Cost minus retainage (minus 15%)	

Section 3.5 USE Case Documents for CSMS NYC and Upstate Subsystems - Deliverable 5 - BATCH ADMIN

[redacted]	Total Deliverable Cost	[redacted]
	Total Deliverable Cost minus retainage (minus 15%)	

Section 3.5 USE Case Documents for CSMS NYC and Upstate Subsystems - Deliverable 6 - BATCH ENFORCMNT

[redacted]	Total Deliverable Cost	[redacted]
	Total Deliverable Cost minus retainage (minus 15%)	

Section 3.5 USE Case Documents for CSMS NYC and Upstate Subsystems - Deliverable 7 - BATCH INTERFACE

[redacted]	Total Deliverable Cost	[redacted]
	Total Deliverable Cost minus retainage (minus 15%)	

Section 3.5 USE Case Documents for CSMS NYC and Upstate Subsystems - Deliverable 8 - BATCH REPORTING

[redacted]	Total Deliverable Cost	[redacted]
	Total Deliverable Cost minus retainage (minus 15%)	

Section 3.5 USE Case Documents for CSMS NYC and Upstate Subsystems - Deliverable 9 - BATCH SUPPORT

[redacted]	Total Deliverable Cost	[redacted]
	Total Deliverable Cost minus retainage (minus 15%)	

Section 3.5 USE Case Documents for CSMS NYC and Upstate Subsystems - Deliverable 10 - COMMAND PROCS

[redacted]	Total Deliverable Cost	[redacted]
	Total Deliverable Cost minus retainage (minus 15%)	

Section 3.5 USE Case Documents for CSMS NYC and Upstate Subsystems - Deliverable 11 - ONLINE ADMIN

[redacted]	Total Deliverable Cost	[redacted]
	Total Deliverable Cost minus retainage (minus 15%)	

Section 3.5 USE Case Documents for CSMS NYC and Upstate Subsystems - Deliverable 12 - ONLINE ACCT MGMT

[redacted]	Total Deliverable Cost	[redacted]
	Total Deliverable Cost minus retainage (minus 15%)	

Section 3.5 USE Case Documents for CSMS NYC and Upstate Subsystems - Deliverable 13 - ONLINE CASE MGMT

[redacted]	Total Deliverable Cost	[redacted]
	Total Deliverable Cost minus retainage (minus 15%)	

Section 3.5 USE Case Documents for CSMS NYC and Upstate Subsystems - Deliverable 14 - PURGES

[redacted]	Total Deliverable Cost	[redacted]
	Total Deliverable Cost minus retainage (minus 15%)	

Section 3.5 USE Case Documents for CSMS NYC and Upstate Subsystems - Deliverable 15 - TAX OFFSET

[redacted]	Total Deliverable Cost	[redacted]
	Total Deliverable Cost minus retainage (minus 15%)	

Section 3.5 USE Case Documents for CSMS NYC and Upstate Subsystems - Deliverable 16 - UNLOADS RPTS		
[redacted]	Total Deliverable Cost	[redacted]
	Total Deliverable Cost minus retainage (minus 15%)	

Section 3.5 USE Case Documents for CSMS NYC and Upstate Subsystems - Deliverable 17 - IOLT		
[redacted]	[redacted] e [redacted] s [redacted]	[redacted]
	Total Deliverable Cost minus retainage (minus 15%)	

Attachment 8 – PBITS Non-Disclosure Agreement

ATTACHMENT 8

CONFIDENTIALITY/NON-DISCLOSURE AGREEMENT

With regard to my work with NYS ITS (Requestor)

I, Paul G. Murray am:
(INDIVIDUAL's name)

- ☐ an employee of Requestor
- ☐ a volunteer with Requestor
- ☐ a contractor of Requestor
- ☒ an employee of a contractor of Requestor
- ☐ a volunteer with a contractor of Requestor
- ☐ a subcontractor to a contractor of Requestor
- ☐ an employee of a subcontractor to Requestor
- ☐ a volunteer with a subcontractor to Requestor

and;

A. Access or Exposure Protected Information In General

I understand that as part of performing my duties as an employee, volunteer, contractor or subcontractor I may have access to, see or hear "Protected Information," which, for purposes of this agreement, shall include, but not be limited to:

1. Data or information obtained from sources outside of OTDA, such as Federal Tax Information (FTI); Federal Parent Locator Services (FPLS) information; Unemployment Insurance Benefit (UIB) information; Social Security Administration (SSA) information; and, Medicaid (MA) information.

2. Data or information maintained in and/or obtained from OTDA-owned applications, systems, networks and/or databases, including but not limited to: Welfare Management System (WMS); Child Support Management System (CSMS); Automated State Support Enforcement and Tracking System (ASSETS); Benefits Issuance Control System (BICS); Cognos; Computer Output to Laser Disk (COLD) report system; and/or the Commissioner's Dashboard.

3. Data or information identifying an individual, particularly where such disclosure could result in an unwarranted invasion of personal privacy. Such data or information may include, but is not limited to: home addresses; telephone numbers; Social Security numbers; client identification numbers; payroll information; financial information; health information; and/or, eligibility and benefit information;

ATTACHMENT 8

4. Computer codes or other electronic or non-electronic data or information, the disclosure of which could jeopardize the compliance stature, security or confidentiality of OTDA's information technology solutions, applications, systems, networks or data;

5. Non-final OTDA policy or deliberative data or information related to the official business of OTDA;

6. Data or information which is not otherwise required to be disclosed under the NYS Freedom of Information Law;

7. Any other material designated by OTDA as being "Confidential," "Personal," "Private" or otherwise "Sensitive."

I acknowledge and agree that all Protected Information (oral, visual or written, including both paper and electronic) which I see or to which I have access shall be treated as strictly confidential and shall not be released, copied or otherwise re-disclosed, in whole or in part, unless expressly authorized by the New York State Office of Temporary and Disability Assistance (OTDA).

I understand and agree that access to and the use of Protected Information obtained in the performance of my duties shall be limited to purposes directly connected with such duties, unless otherwise provided in writing by OTDA. When access to such information or data also results in access to Protected Information or data beyond that which is necessary for the purpose for which access was granted, I agree to access only that Protected Information needed for the purpose for which access was given.

When I no longer require the use of or access to such Protected Information, whether because of termination of employment, reassignment of job duties or otherwise, I agree that I will not access or attempt to access any Protected Information, including, but not limited to any Protected Information in State systems or other sources, to which I have been given access. I will return any and all reports, notes, memoranda, notebooks, drawings, data and other Protected Information developed, received, compiled by or delivered to me in order to carry out my functions or which may be in my possession, regardless of the source of the Protected Information. Any Protected Information not returned will be catalogued, and thereafter securely scrubbed, shredded, or otherwise disposed of in accordance with New York State EISO policies [http://www.its.ny.gov/tables/technologypolicyindex].

I understand that federal and State law and regulation prohibit the release or disclosure of such Protected Information, in whole or part. I acknowledge and hereby agree that I will not copy, re-disclose or otherwise share Protected Information in whole or in part in any form to anyone unless I am expressly directed to do so by my supervisor and such disclosure complies with applicable federal and State law and regulation. I further understand that if I am unsure as to what information is confidential, I will immediately, and prior to any such access, use, or re-disclosure, consult with OTDA or my supervisor.

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I will safeguard, and will not disclose to unauthorized parties, any user name and/or password that may be issued to me in furtherance of my access to the Protected Information unless authorized. I understand that my access to Protected Information may be revoked at any time if my responsibilities change, or for any other reason at the discretion and direction of OTDA, or my supervisor. Further, I will not facilitate access or disclosure of Protected Information to any unauthorized person or entity, whether by knowingly providing my user name and/or password or otherwise.

I will comply with all applicable Federal and State confidentiality, record security, compliance and retention laws, regulations, policies and procedures..

I will immediately report to my supervisor any activities by any individual or entity that I have reason to believe may compromise the availability, integrity, security or privacy of the Protected Information. I will immediately notify OTDA and my supervisor of any request for Protected Information that does not come from an individual directly involved in the project.

I agree not to attach or load any hardware or software to or into any State or Requestor equipment unless properly authorized, in writing, to do so by OTDA. I will use only my access rights to, and will access only those systems, directories, and Protected Information authorized for my use by OTDA.

I will not use OTDA telecommunications, Internet, E-mail or other services or equipment for any illegal, disruptive, unethical or unprofessional activities, for personal gain, or for any purpose that could jeopardize the legitimate interests of the State or expose some or all Protected Information.

I agree not to knowingly take any actions that may intrude upon, disrupt or deny OTDA or Requestor services or the flow of any Protected Information.

I agree to store any Protected Information received in secure, locked containers or, where stored on a computer or other electronic media, in accordance with state and federal law and regulation, as well as OTDA's and New York State Office of Information Technology Services' (ITS) security policies that protects Protected Information from unauthorized disclosure.

I agree that no brochure, news/media/press release, public announcement, memorandum or other information of any kind regarding this Agreement or any Protected Information shall be disseminated in any way to the public, nor shall any presentation be given regarding this Agreement without the prior written approval of OTDA.

B. Access or Exposure to Information With Heightened Obligations:

I. Child Support Information

1. I acknowledge that, through attendance at a training program provided or approved by OTDA, I have been advised of the laws, regulations, policies, and rules governing use and

disclosure of child support information, including federal information (as defined below) and agree to follow the same.

2. I will not access child support information on any system maintained by New York State for any purpose other than those permitted by law, including:

   - Actions necessary to establish paternity, establish, modify or enforce orders of child support or combined orders of child and spousal support.
   - The administration of the child support program, including data and systems management.
   - Verifying child support or combined child and spousal support payments to persons in Medicaid (MA), Temporary Aid to Needy Families (TANF) or Supplemental Nutrition Assistance Program (SNAP) households as part of an eligibility determination or recertification;
   - Obtaining information about child support orders and combined orders of child and spousal support for the purpose of administering the MA, TANF or SNAP program.
   - Investigation of fraud in the MA, TANF, or SNAP program.

3. I will not access any cases, accounts, files or screens except those necessary to perform my duties.

4. I understand that all child support information I have access to, whether in paper, electronic, or other format is confidential and may not be used or disclosed for any other purpose, or be released to any party, without prior written consent of the OTDA Division of Child Support Enforcement or (if employed by a social services district) the Coordinator of the child support unit of the social services district where I am employed, or the designee of either.

5. I understand that any access, use, or disclosure for any unauthorized purpose without prior written consent as set forth in paragraph 4 shall constitute a breach of confidentiality and may result in disciplinary proceeding, criminal charges, and/or civil liability.

NOTICE: Pursuant to Social Services Law 111-v, any person who willfully discloses or permits disclosure or release of Confidential Information obtained hereunder shall be guilty of a class A misdemeanor and shall be liable to any person who incurs damages due to said disclosure in a civil action.

II. Federal Information

1. For the purposes of this Agreement, "federal information" shall mean all information obtained through the Federal Parent Locator System (FPLS), including National Directory of New Hires (NDNH), and the Federal Case Registry (FCR). The FPLS is an automated national information system which locates employment, income, asset and home address information on parents in child support cases. The NDNH contains new hire (W-4), quarterly wage (QW) and unemployment insurance (UI) information on employees in both the public and private sector. The FCR collects and maintains records provided by state

ATTACHMENT 8

child support agency registries, which include abstracts of support orders and information from child support cases. This information must be safeguarded as required by state and federal rules whether in transmission or at rest, and in both electronic and paper form. Federal information must be protected from improper disclosure in accordance with state and federal rules regardless of where it is stored or displayed, including the Automated State Support Enforcement and Tracking System (ASSETS), the Child Support Management System (CSMS), and Computer Output to Laser Disk (COLD), or a local system. Federal information that has been independently verified is no longer federal information, but remains child support information subject to Section I, above.

2. I will not access federal information for any purpose other than those permitted by law, including:

   - Actions necessary to establish paternity, establish, modify or enforce order of child support or combined orders of child and spousal support.
   - The administration of the child support program.
   - Information obtained from the NDNH or FCR may be disclosed to agencies administering plans or programs under titles IV-A, IV-B, IV-D and IV-E of the federal Social Security Act for the purpose of assisting that program to carry out its responsibilities of administering title IV-A, IV-B, IV-D and IV-E programs.
   - Certain location and employment information from the FPLS may be disclosed to locate an individual for the purposes of establishing parentage or relative foster care under titles IV-B or IV-E of the federal social security act.

3. I acknowledge that paragraphs three through five in Section B, I above, apply to use, disclosure and safeguarding of federal information.

III. Federal Tax Return Information

I have read the quoted provisions of Section 6103, 7213, 7213A and 7431 of the Internal Revenue Code contained in Attachment B of this Agreement and I understand that Section 6103 of the Internal Revenue Code imposes strict confidentiality requirements on child support enforcement personnel who have or have had access to federal tax returns or return information and that Sections 7213, 7213A and 7431 of the Internal Revenue Code impose criminal and civil penalties for unauthorized inspection or disclosure of any tax return or return information. I further understand that:

1. All tax returns and return information which the Internal Revenue Service discloses to state and local child support enforcement agencies are confidential under the terms of Section 6103(a) of the Internal Revenue Code, and may not be disclosed by any officer or employee of any state or local child support enforcement agency or other person except as authorized by Internal Revenue Code;

2. All tax returns or return information which the Internal Revenue Service discloses to state and local child support enforcement agencies may be used only for purposes of and to the

ATTACHMENT 8

extent necessary in establishing and collecting child support obligations from, and locating, individuals owing such obligations;

3. Willful unauthorized inspection or disclosure of a tax return or return information by an officer or employee of a state or local child support enforcement agency or other employees is unlawful under the terms of Section 7213 and 7213A of the Internal Revenue Code and punishable as a felony by a fine in any amount not exceeding $5,000 or imprisonment of not more than five (5) years, or both, together with the costs of prosecution. Willful unauthorized inspection of a tax return or return information is punishable by a fine of up to $1,000 and/or imprisonment of up to one year, together with the costs of prosecution;

4. Under the terms of Section 7431 of the Internal Revenue Code, a taxpayer may bring a civil lawsuit to recover actual and punitive damages from an officer or employee of a state or local child support enforcement agency or other person who has disclosed, whether knowingly or by reason of negligence, such taxpayer's tax return or return information in violation of the provisions of Section 6103 of the Internal Revenue Code; and

5. The civil and criminal penalties apply even if the unauthorized disclosures were made after employment has ceased with the child support agency, agents or contractors.

I understand and agree that the terms of this Agreement shall continue even when I am no longer an OTDA or Requestor employee, contractor, subcontractor, or volunteer and that I will abide by the terms of this Agreement in perpetuity.

I understand that failure to comply with these requirements may result in disciplinary action, termination, civil action and/or criminal prosecution, as well as any other penalties provided by law.

This Agreement shall be governed by the laws of the State of New York, unless otherwise required by Federal law.

DocuSigned by:
Paul G. Murray
ED31518EA13E4B6...

(INDIVIDUAL's Signature)

Paul G. Murray

(INDIVIDUAL's Printed Name)

GCOM Software LLC

(Entity of which INDIVIDUAL is an employee, subcontractor or volunteer)

ATTACHMENT 8

4/19/2021

(Date)

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ATTACHMENT A

Legal and Regulatory References

This policy addresses and incorporates compliance with a variety of Federal and State statutory, regulatory and policy requirements related to confidentiality, privacy and information security, including but not limited to the following:

Child Support

- General Rules: 42 U.S.C. § 654(26); 45 C.F.R. § 303.21; SSL § 111-v; 18 NYCRR 346.1(e), 347.19

- Child Support Management System (CSMS) data: 42 U.S.C. § 654a(c), (d); 45 C.F.R. § 307.13; SSL § 111-v

- Domestic Violence Indicators: 42 U.S.C. § 653(b)(2); 42 U.S.C. § 654(26)(e); SSL § 111-v(2)(a)

- Federal and State Case Registry: 42 U.S.C. §§ 653(h), (m); 42 U.S.C. § 654a(e); SSL § 111-b(4-a)

- Federal Parent Locator Service/State Parent Locator Service: 42 U.S.C. §§ 653(a)–(c), (l), (m); 42 U.S.C. § 654(8); 42 U.S.C. § 663; SSL § 111-b(4)

- Financial Institution records: 42 U.S.C. § 666(a)(17); 42 U.S.C. § 669a(b); SSL § 111-o

- Government Agency and Private records: 42 U.S.C. § 666(c)(1)(D); SSL § 111-s

- IRS and State Tax Information: 26 U.S.C. § 6103(p)(4)(C); 26 U.S.C. §§ 6103(l)(6), (8); 26 U.S.C. § 6103(l)(10)(B); NY Tax Law §§ 697(e)(3), 1825; SSL § 111-b(13)(b); *See also* IRS Publication 1075: Tax Information Security Guidelines for Federal, State, and Local Agencies (2014), *available at* www.irs.gov/pub/irs-pdf/p1075.pdf

- New Hires Data: 42 U.S.C. §§ 653(i), (j)(2), (l), (m); 42 U.S.C. 653a(h); SSL § 111-m

Public Assistance

- Fair Hearing records: 45 C.F.R. § 205.10(a)(19); 18 NYCRR 357; 18 NYCRR 358-3.7; 18 NYCRR 358-4.3; 18 NYCRR 358-5.11(b); 18 NYCRR 387.2(j)

- General rules: SSL § 136; 18 NYCRR §§ 357.1 – 357.6

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- IRS and State Tax Information: 26 U.S.C. § 6103(l)(7); 26 U.S.C. § 6103(L)(8); SSL §§ 23; 136-a(2); NY Tax Law §§ 697(e)(3), 1825; *see also* IRS Publication 1075: Tax Information Security Guidelines for Federal, State, and Local Agencies (2014), *available at* www.irs.gov/pub/irs-pdf/p1075.pdf

- Welfare Management System (WMS) data: SSL § 21

Medical Assistance

- General rules: 42 U.S.C. § 1396a(a)(7), *amended by* Pub. L. No. 113-67, 127 Stat. 1165 (2013); 42 C.F.R. § 431.300 et seq; SSL §§ 136, 367-b(4), 369(4); 18 NYCRR 357.1 – 357.6; 18 NYCRR 360-8; Public Health Law § 2782 (AIDS information)

- HIPAA regulations: 45 C.F.R. pt. 160; 45 C.F.R. pt. 164

Supplemental Nutrition Assistance Program (SNAP)

- General Rules: 7 U.S.C. § 2020(e)(8); 7 C.F.R. § 272.1(c); 7 C.F.R. § 278.1(q); 18 NYCRR 387.2(j); 18 NYCRR 357

Other Statutes and Policies

- Criminal Offenses involving Computers (including governmental and personal records): NY Penal Law art. 156

- Freedom of Information Law: NYS Public Officers Law, Article 6, §§ 84 – 90

- Internet Security and Privacy Act: State Technology Law 201-208; N.Y.S. Executive Order No. 117, 9 NYCRR 5.117 (Jan. 28, 2002)

- NYS Office of Information Technology Services, Information Technology Standard, Cyber Incident Response NYS-S13-005

- NYS Office of Information Technology Services, Information Technology Policy, Information Security NYS-P03-002

- Personal Privacy Protection Law: NYS Public Officers Law, Article 6-A, §§ 91 – 99

- State Archives and Records Administration: Arts and Cultural Affairs Law 57.05 and 57.25

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ATTACHMENT B

Internal Revenue Code (IRC) Section 6103(l)(6) provides:

> The Secretary of Health and Human Services shall disclose return information to State and local child support enforcement agencies only for purposes of, and to the extent necessary in, establishing and collecting child support obligations from, and locating, individuals owing such obligations.

IRC Section 6103 imposes strict confidentiality requirements on child support enforcement personnel who have access to federal tax returns or return information. IRC Section 6103(a) provides: Returns and return information shall be confidential, and except as authorized by this title:

(1) no officer or employee of the United States,

(2) no officer or employee of any State or of any local child support enforcement agency who has or had access to returns or return information under this section, and

(3) no other person (or officer or employee thereof) who has or had access to returns or return information under subsection (e)(1)(D)(iii), subsection (k)(10), paragraph (6), (10), (12), (16), (19), (20), or (21) of subsection (l), paragraph (2) or (4)(B) of subsection (m), or subsection (n),

shall disclose any return or return information obtained by him in any manner in connection with his service as such an officer or an employee or otherwise or under the provisions of this section. For purposes of this subsection, the term “officer or employee” includes a former officer or employee.

IRC Sections 7213, 7213A and 7431 impose criminal and civil penalties for unauthorized disclosure or inspection of any tax return or return information:

Criminal Penalty - Section 7213(a)(2), provides that an unauthorized disclosure of return or return information shall be a felony punishable by up to 5 years imprisonment and $5,000 fine:

(2) State and other employees - It shall be unlawful for any officer, employee, or agent, or former officer, employee, or agent, of any State (as defined in Section 6103(b)(5)), or any local child support enforcement agency willfully to disclose to any person, except as authorized in this title, any return or return information (as defined in Section 6103(b)) acquired by him or another person under subsection (1) (6) or (1) (10) of Section 6103. Any violation of this paragraph shall be a felony punishable by a fine in any amount not exceeding $5,000, or imprisonment of not more than 5 years, or both, together with the costs of prosecution.

Criminal Penalty - Section 7213A(a)(2), provides that it shall be unlawful for any person willfully to inspect, except as authorized by this title, any return information acquired by such

ATTACHMENT 8

person or another person under a provision of Section 6103 referred to in Section 7213(a)(2). Section 7213A(b) further provides that any violation of subsection (a) shall be punishable upon conviction by a fine in any amount not exceeding $1,000, or imprisonment of not more than 1 year, or both, together with the costs of prosecution.

Civil Penalty - Section 7431, provides that a taxpayer may bring a civil action to recover actual and punitive damages from a person who discloses the taxpayer's tax return or return information in violation of the provisions of Section 6103:

a) In General - (2) . . . If any person who is not an officer or employee of the United States knowingly, or by reason of negligence, discloses any return or return information with respect to a taxpayer in violation of any provision of section 6103, such taxpayer may bring a civil action for damages against such a person in a district court of the United States.

c) Damages - In any action brought under subsection (a), upon a finding of liability on the part of the defendant, the defendant shall be liable to the plaintiff in an amount equal to the sum of--
   (1) the greater of--
      (A) $1,000 for each act of unauthorized disclosure of a return or return information with respect to which such defendant is found liable, or
      (B) the sum of--
         (i) the actual damages sustained by the plaintiff as a result of such unauthorized disclosure, plus
         (ii) in the case of a willful disclosure or a disclosure which is the result of gross negligence, punitive damages, plus
   (2) the costs of the action.

Attachment 9 - FTI Appendix 2017

FTI Appendix
Safeguarding Federal Tax Information

I. PERFORMANCE

In performance of this contract, the Contractor agrees to comply with and assume responsibility for compliance by his or her employees with the following requirements:

(1) All work will be performed under the supervision of the contractor or the contractor's responsible employees.

(2) The contractor and the contractor's employees with access to or who use Federal Tax Information[1] (FTI) must meet the background check requirements defined in IRS Publication 1075.

(3) Any FTI made available in any format shall be used only for the purpose of carrying out the provisions of this contract. Information contained in such material shall be treated as confidential and shall not be divulged or made known in any manner to any person except as may be necessary in the performance of this contract. Inspection by or disclosure to anyone other than an officer or employee of the contractor is prohibited.

(4) All FTI will be accounted for upon receipt and properly stored before, during, and after processing. In addition, all related output and products will be given the same level of protection as required for the source material.

(5) The contractor certifies that the data processed during the performance of this contract will be completely purged from all data storage components of his or her computer facility, and no output will be retained by the contractor at the time the work is completed. If immediate purging of all data storage components is not possible, the contractor certifies that any FTI or IRS Data[2] remaining in any storage component will be safeguarded to prevent unauthorized disclosures.

(6) Any spoilage or any intermediate hard copy printout that may result during the processing of FTI or IRS Data will be given to the agency or his or her designee. When this is not possible, the contractor will be responsible for the destruction of the spoilage or any intermediate hard copy printouts, and will provide the agency or his or her designee with a statement containing the date of destruction, description of material destroyed, and the method used.

(7) All computer systems receiving, processing, storing or transmitting FTI must meet the requirements defined in IRS Publication 1075. To meet functional and assurance requirements, the security features of the environment must provide for the managerial, operational, and technical controls. All security features must be available and activated to protect against unauthorized use of and access to FTI.

(8) No work involving FTI furnished under this contract will be subcontracted without prior written approval of the IRS.

(9) The contractor will maintain a list of employees authorized access. Such list will be provided to the agency and, upon request, to the IRS reviewing office.

(10) The agency will have the right to void the contract if the contractor fails to provide the safeguards described above.

(11) (Include any additional safeguards that may be appropriate.)

II. CRIMINAL/CIVIL SANCTIONS

(1) Each officer or employee of any person to whom FTI is or may be disclosed shall be notified in writing by such person that the FTI disclosed to such officer or employee can be used only for a purpose and to the extent authorized herein, and that further disclosure of any such FTI for a purpose or to an extent unauthorized herein constitutes a felony punishable upon conviction by a fine of as much as $5,000 or imprisonment for as long as 5 years, or both, together with the costs of prosecution. Such person shall also notify each such officer and employee that any such unauthorized further disclosure of FTI may also result in an award of civil damages against the officer or employee in an amount not less than $1,000 with respect to each instance of unauthorized disclosure. These penalties are prescribed by IRCs 7213 and 7431 and set forth at 26 CFR 301.6103(n)-1.

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[1] Federal Tax Information (FTI) consists of federal tax returns and return information (and information derived from it).

[2] Data is a representation of facts, concept, information, or instruction suitable for communication, processing, or interpretation by people or information systems.

(2) Each officer or employee of any person to whom FTI is or may be disclosed shall be notified in writing by such person that any FTI made available in any format shall be used only for the purpose of carrying out the provisions of this contract. Information contained in such material shall be treated as confidential and shall not be divulged or made known in any manner to any person except as may be necessary in the performance of this contract. Inspection by or disclosure to anyone without an official need-to-know constitutes a criminal misdemeanor punishable upon conviction by a fine of as much as $1,000 or imprisonment for as long as 1 year, or both, together with the costs of prosecution. Such person shall also notify each such officer and employee that any such unauthorized inspection or disclosure of FTI may also result in an award of civil damages against the officer or employee [United States for Federal employees] in an amount equal to the sum of the greater of $1,000 for each act of unauthorized inspection or disclosure with respect to which such defendant is found liable or the sum of the actual damages sustained by the plaintiff as a result of such unauthorized inspection or disclosure plus in the case of a willful inspection or disclosure which is the result of gross negligence, punitive damages, plus the costs of the action. The penalties are prescribed by IRCs 7213A and 7431 and set forth at 26 CFR 301.6103(n)-1.

(3) Additionally, it is incumbent upon the contractor to inform its officers and employees of the penalties for improper disclosure imposed by the Privacy Act of 1974, 5 U.S.C. 552a. Specifically, 5 U.S.C. 552a (i)(1), which is made applicable to contractors by 5 U.S.C. 552a(m)(1), provides that any officer or employee of a contractor, who by virtue of his/her employment or official position, has possession of or access to agency records which contain individually identifiable information, the disclosure of which is prohibited by the Privacy Act or regulations established thereunder, and who knowing that disclosure of the specific material is prohibited, willfully discloses the material in any manner to any person or agency not entitled to receive it, shall be guilty of a misdemeanor and fined not more than $5,000.

(4) Granting a contractor access to FTI must be preceded by certifying that each individual understands the agency's security policy and procedures for safeguarding IRS Data. Contractors must maintain their authorization to access FTI through annual recertification. The initial certification and recertification must be documented and placed in the agency's files for review. As part of the certification and at least annually afterwards, contractors must be advised of the provisions of IRCs 7431, 7213, and 7213A. (*See*, IRS Publication 1075: *Exhibit 4, Sanctions for Unauthorized Disclosure*, and *Exhibit 5, Civil Damages for Unauthorized Disclosure*). The training provided before the initial certification and annually thereafter must also cover the incident response policy and procedure for reporting unauthorized disclosures and data breaches. (*See*, IRS Publication 1075: *Section 10, Reporting Improper Inspections or Disclosures*). For both the initial certification and the annual certification, the contractor must sign, either with ink or electronic signature, a confidentiality statement certifying their understanding of the security requirements.

III. INSPECTION

The IRS and the agency, with 24 hour notice, shall have the right to send its inspectors into the offices and plants of the contractor to inspect facilities and operations performing any work with FTI under this contract for compliance with requirements defined in IRS Publication 1075. The IRS' right of inspection shall include the use of manual and/or automated scanning tools to perform compliance and vulnerability assessments of information technology (IT) assets that access, store, process, or transmit FTI. On the basis of such inspection, corrective actions may be required in cases where the contractor is found to be noncompliant with contract safeguards.

I have read and received this FTI Appendix

GCOM Software LLC
Contractor

Paul G. Murray, Chief Financial Officer
Consultant

DocuSigned by:
Paul G. Murray
ED31518EA13E4B6...

Attachment 10 - NYS DTF Tax form 202

Agreement to Adhere to the Secrecy Provisions of the Tax Law And the Internal Revenue Code

The New York State Tax Law and the Department of Taxation and Finance (department) impose secrecy restrictions on:

- all officers, employees, and agents of the department;
- any person or entity engaged or retained by the department on an independent contract basis;
- any depository, its officers and employees, to which a return may be delivered;
- any person who is permitted to inspect any report or return;
- a contractor, subcontractor, or any employee of a contractor or subcontractor hired by the department; and
- visitors to the department's buildings or premises.

Except in accordance with proper judicial order or as otherwise provided by law, it is unlawful for anyone to divulge or make known in any manner the contents or any particulars set forth or disclosed in any report or return required under the Tax Law. Computer files and their contents are covered by the same standards and secrecy provisions of the Tax Law and Internal Revenue Code that apply to physical documents.

New York State Tax Law section 1825 makes it a crime to intentionally disclose tax information. Such crime is punishable by a fine not exceeding $10,000, imprisonment not exceeding one year, or both. In the case of a corporation, a fine of up to $20,000 may be imposed. State officers and employees making unlawful disclosures are subject to dismissal from public office for a period of five years.

Unauthorized disclosure includes the willful browsing or accessing of taxpayer information by a person not authorized to view it. New York State Penal Law §§ 156.05 and 156.10, related to unauthorized access and computer trespass, make it unlawful to access or view taxpayer information from a computer system without a legitimate business need, punishable by up to four years imprisonment. As to employees, both of the department as well as employees of contractors, agents, and subcontractors, this includes access by an employee who is not required by his or her work assignments to view that tax information. Unlawful access, viewing and/or disclosure may also be subject to other New York State Penal Law violations as may be applicable.

Important note: there is never a work-related reason to access one's own, a friend's, or a family member's tax information. In addition to other penalties that may be imposed, doing so may subject a person to immediate dismissal. Access to tax information and department systems is subject to monitoring.

Unauthorized disclosure of automated tax systems information developed by the department is strictly prohibited. Examples of confidential systems information include: functional, technical, and detailed systems design; systems architecture; automated analysis techniques; systems analysis and development methodology; audit selection methodologies; and proprietary vendor products such as software packages.

The Internal Revenue Code contains secrecy provisions that apply to federal tax reports and returns. Pursuant to Internal Revenue Code sections 6103 and 7213, penalties similar to those in New York State law are imposed on any person making an unauthorized disclosure of federal tax information. In addition, Internal Revenue Code section 7213A prohibits the unauthorized inspection of returns or return information ("browsing"). The unauthorized inspection of returns or return information by any person is punishable by a fine not exceeding $1,000 for each access, or by imprisonment of not more than one (1) year, or both, together with the costs of prosecution.

Individual certification

I certify that I have read the above document and that I have been advised of the statutory and department secrecy requirements. I certify that I will adhere thereto, even after my relationship with the department is terminated.

Signature	Name of person signing *(print)*		Date signed
	Paul G. Murray		
Address *(number and street)*	City	State	ZIP code

Contractor (organization) certification

I certify that I have read the contents of this *Agreement to Adhere to the Secrecy Provisions of the Tax Law and the Internal Revenue Code*, represent that I am authorized to bind the organization to this agreement, and am executing this certification on behalf of the organization.

Prior to allowing any employee, agent, or subcontractor of the organization to access department data, the organization will provide each such individual with the information contained herein, and have each execute this agreement in his or her individual capacity. The organization will provide a copy of all executed Forms DTF-202 to the department. In addition, the organization agrees to provide each such individual with such further training concerning the secrecy provisions discussed herein as may be required by the department, and will retain proof that each such individual has received such training, which shall be provided to the department at its request.

Organization name			
GCOM Software LLC			
Name of person signing *(print)*: Paul G. Murray	Title of person signing: Chief Financial Officer		
Signature: DocuSigned by: Paul G. Murray		Date signed: 3/17/2021	
Address *(number and street)*: 300 Great Oaks Blvd., Suite 300	City: Albany	State: NY	ZIP code: 12203

Attachment 12- SDVOB Utilization Plan

NEW YORK STATE OF OPPORTUNITY. | Office of Information Technology Services

SDVOB 100 (Revised 1/15)

SDVOB UTILIZATION PLAN

INSTRUCTIONS: This form MUST be submitted with any bid, proposal, or proposed negotiated contract prior to contract award. This Utilization Plan must contain a detailed description of the supplies and/or services to be provided by each NYS-certified Service-Disabled Veteran-Owned Business (SDVOB), including the offeror if a NYS-certified SDVOB, and estimated (or actual if known) annual dollar value under the contract and reflect the SDVOB participation goals specified in the contract or procurement document.

Will there be SDVOB participation for services provided under this contract? ☑ *YES* *Complete the form.* ☐ NO *If No, please contact ITS Procurement & Contracts Support for help.*

Contract Overview

Offeror/Contractor Name:	GCOM Software LLC	Telephone:	518-869-1671		
Address	300 Great Oaks Blvd, Suite 300	Federal ID No:	20-2902922	SFS Vendor ID:	1000016650
City, State, Zip:	Albany, NY 12203	Solicitation No:	ITS-PBITS-2021-41SM		

SDVOB: Complete box below for each NYS-Certified SDVOB Contractor/Subcontractor. Add more pages if needed.	Classification	Description of Scope of Work (Subcontracts/Supplies/Services)	Annual Dollar Value of Subcontracts/Supplies/Services
Name: Nubes Opus, LLC Address: [redacted] City, State, Zip: Telephone: Fed. ID. No:	☑ SDVOB	☑ DIRECT (Spending directly fulfilling contract obligations) Description: IT Staffing Services ☐ INDIRECT (Spending in support of company operations.) Description: ☐ Copy of written agreement attached (Required for teaming	$ [redacted]
Name: Address: City, State, Zip: Telephone: Fed. ID. No: SFS Vendor ID:	☐ SDVOB	☐ DIRECT (Spending directly fulfilling contract obligations) Description: ☐ INDIRECT (Spending in support of company operations.) Description: ☐ Copy of written agreement attached (Required for teaming	$

☑VENDOR CERTIFICATION: I hereby affirm that the information supplied in this utilization plan is true and correct.

SUBMISSION OF THIS FORM CONSTITUTES THE OFFEROR/CONTRACTOR'S ACKNOWLEDGEMENT AND AGREEMENT TO COMPLY WITH THE SDVOB REQUIREMENTS SET FORTH UNDER NYS EXECUTIVE LAW, ARTICLE 17-B, 9 NYCRR PART 252, AND THE ABOVE REFERENCED SOLICITATION. FAILURE TO SUBMIT COMPLETE AND ACCURATE INFORMATION MAY RESULT IN A FINDING OF NONCOMPLIANCE AND/OR TERMINATION OF THE CONTRACT.

Signature:	DocuSigned by: Paul G. Murray	Date:	4/26/2021
Print Name:	Paul G. Murray	Telephone No:	518-869-1671
Title:	Chief Financial Officer	Email:	RFP@gcomsoft.com

FOR AUTHORIZED USE ONLY			
SDVOB Utilization Plan Approved:	☐ Y	☐ N	Date: ______________
Notice of Deficiency Issued:	☐ Y	☐ N	Date: ______________
Notice of Acceptance Issued:	☐ Y	☐ N	Date: ______________
Reviewed By: ______________			Date: ______________
Comment(s):			

Attachment 13 - Sexual Harassment Prevention Certification

NEW YORK STATE OF OPPORTUNITY. | Office of Information Technology Services

ITS-PBITS-2021-41SM Child Support Management System Legacy Rules Extraction
ATTACHMENT 13 – Sexual Harassment Prevention Certification

State Finance Law §139-L requires bidders on state procurements to certify that they have a written policy addressing sexual harassment prevention in the workplace and provide annual sexual harassment training (that meets the Department of Labor's model policy and training standards) to all its employees.

Bids that do not contain the certification will not be considered for award; provided however, that if the bidder cannot make the certification, the bidder may provide a signed statement with their bid detailing the reasons why the certification cannot be made.

By submission of this bid, each bidder and each person signing on behalf of any bidder certifies, and in the case of a joint bid each party thereto certifies its own organization, under penalty of perjury, that the bidder has and has implemented a written policy addressing sexual harassment prevention in the workplace and provides annual sexual harassment prevention training to all of its employees. Such policy shall, at a minimum, meet the requirements of section two hundred one-g of the labor law.

Bidder Certification:

By my signature below, I certify that I am a duly authorized signatory of the Bidder with the ability to legally bind the Bidder. I further certify that Bidder adheres to State Finance Law §139-L.

DocuSigned by:
Signature: Paul G. Murray Date: 4/1/2021
ED31518EA13E4B6...

Printed Name: Paul G. Murray

Title: Chief Financial Officer

Bidder Name: GCOM Software LLC

Bidder Address:
300 Great Oaks Blvd. Suite #300 Albany, NY 12203

MWBE & EEO Compliance Forms:

MWBE 100 Utilization Plan

NEW YORK STATE OF OPPORTUNITY. | Office of Information Technology Services

M/WBE UTILIZATION PLAN

M/WBE 100 (Revised 10/20)

INSTRUCTIONS: Th s form MUST be subm tted w th any b d, proposa , or proposed negot ated contract pr or to contract award. Th s Ut zat on P an must conta n a deta ed descr pt on of the supp es and/or serv ces to be prov ded by each NYS cert f ed M nor ty and Women-owned Bus ness Enterpr se (M/WBE), nc ud ng the offeror f a NYS cert f ed MWBE, the MWBE goa and percent, and est mated (or actua f known) annua do ar va ue under the contract.

Will there be M/WBE participation for services provided under this contract? YES ☒ NO ☐

Contract Overview

Offeror/Contractor Name:	GCOM Software LLC	Te ephone:	518-869-1671
Address	300 Great Oaks Blvd, Suite 300	Federa ID No:	20-2902922 SFS Vendor ID: 1000016650
C ty, State, Z p:	Albany, NY 12203	So c tat on No:	ITS-PBITS-2021-41SM

NYS Cert f ed M/WBE F out box be ow for each NYS Cert f ed M/WBE Pr me Contractor or Subcontractor	MWBE Cert f cat on	Descr pt on of Scope of Work (Supp es/Serv ces)	MWBE Goa s and Est Ann a Do ar Va ue
Name: Seven Seas Technologies Inc., DBA S2Tech Address: [redacted] C ty, State, Z Te ephone: Fed. ID. No:	☒ MBE ☐ WBE ☐ DUAL	DIRECT (Spend ng d rect y fu f ng contract ob gat ons) Descr pt on: IT Staffing Services INDIRECT (Spend ng n support of company operat ons.) Descr pt on: ☐ - This is a Joint Venture, Teaming or Mentor-Protégé Agreement, or Similar arrangement, and as required the agreement or arrangement is included with this MWBE Utilization Plan for review and approval.	Des gnate one: ☐ Pr me ☒ Subcontractor Des gnate e ther MBE or WBE and the Goa %: X MBE 15 % ☐ WBE __% E [redacted] ue: $
Name: ACS Consultancy Services, Inc. Address: [redacted] C ty, State, Z Te ephone: Fed. ID. No:	☐ MBE X WBE ☐ DUAL	DIRECT (Spend ng d rect y fu f ng contract ob gat ons) Descr pt on: IT Staffing Services INDIRECT (Spend ng n support of company operat ons.) Descr pt on: ☐ - This is a Joint Venture, Teaming or Mentor-Protégé Agreement, or Similar arrangement, and as required the agreement or arrangement is included with this MWBE Utilization Plan for review and approval.	Des gnate one: ☐ Pr me X Subcontractor Des gnate e ther MBE or WBE and the Goa %: ☐ MBE __% X WBE 15% Est. Annua Do ar Va ue: $ [redacted]

☒ VENDOR CERTIFICATION: I hereby aff rm that the nformat on supp ed n th s ut zat on p an s true and correct.

SUBM SS ON OF TH S FORM CONST TUTES THE OFFEROR/CONTRACTOR'S ACKNOWLEDGEMENT AND AGREEMENT TO COMPLY WITH THE M/WBE REQUIREMENTS SET FORTH UNDER NYS EXECUTIVE LAW, ARTICLE 5-A, 5 NYCRR PART 42 AND THE ABOVE REFERENCED SOL C TAT ON FA LURE TO SUBM T COMPLETE AND ACCURATE NFORMAT ON MAY RESULT N A F ND NG OF NONCOMPL ANCE AND/OR TERM NAT ON OF THE CONTRACT

S gnature: DocuSigned by: Paul G. Murray 6A5BACE6C00940A

Pr nt Name: Paul G. Murray

T t e: Chief Financial Officer

Date: 4/26/2021

Te ephone No: 518-869-1671

Ema : RFP@gcomsoft.com

M/WBE UTILIZATION PLAN

FOR AUTHORIZED USE ONLY			
Utilization Plan Approved:	☐ Y	☐ N	Date:
Notice of Deficiency Issued:	☐ Y	☐ N	Date:
Notice of Acceptance Issued:	☐ Y	☐ N	Date:
Reviewed By:			Date:
Comment(s):			

EEO-100 Staffing Plan

EE0-100 (v.2015.12.09es)

EQUAL EMPLOYMENT OPPORTUNITY – STAFFING PLAN

(Instructions on Page 2)

Contractor's Name: GCOM Software LLC

Telephone: 518-869-1671

Address: 300 Great Oaks Blvd, Suite 300

Federal ID No.: 20-2902922

SFS Vendor ID: 1000016650

City, State, ZIP: Albany, NY 12203

Contract No(s): ITS-PBITS-2021-41SM

Report includes -Please select one from the options below:

- [X] Work force utilized on this contract -Key Personnel
- [ ] Contractor/Subcontractor's total work force

Reporting Entity - Please select one from the options below:

- [X] Contractor
- [ ] Subcontractor

Job Categories	Total Work Force	Race/Ethnicity - report employees in only one category													
		Hispanic or Latino		Not-Hispanic or Latino											
				Male						Female					
		Male	Female	White	Black or African American	Native Hawaiian or Other Pacific Islander	Asian	American Indian or Alaska Native	Two or More Races	White	Black or African American	Native Hawaiian or Other Pacific Islander	Asian	American Indian or Alaska Native	Two or More Races
Executive/Senior Level Officials and Managers															
First/Mid-Level Officials and Managers				1											
Professionals							1			1			1		
Technicians															
Sales Workers															
Administrative Support Workers															
Craft Workers															
Operatives															
Laborers and Helpers															
Service Workers															
TOTAL															

PREPARED BY (*Signature*): DocuSigned by: Paul G. Murray 6A5BACE6C0D9404...

DATE: 4/26/2021

NAME AND TITLE OF PREPARER: Paul G. Murray, Chief Financial Officer

(print or type)

TELEPHONE/EMAIL: 518-869-1671/ RFP@GCOMSOFT.COM

EEO-101 Work Force Utilization/Diversity Report

Per the State's answer to question 47 in the Vendor Questions document, the EEO-101 form is not required with bid submission.

MWBE Equal Employment Opportunity Form 4

NEW YORK STATE OF OPPORTUNITY. | Office of Information Technology Services

MINORITY AND WOMEN-OWNED BUSINESS ENTERPRISES – EQUAL EMPLOYMENT OPPORTUNITY POLICY STATEMENT (Form #4)

M/WBE AND EEO POLICY STATEMENT

I, Paul G. Murray, the (awardee/contractor) Chief Financial Officer of GCOM Software LLC agree to adopt the following policies with respect to the project being developed or services rendered at ______________________________

M/WBE

This organization will and will cause its contractors and subcontractors to take good faith actions to achieve the M/WBE contract participations goals set by the State for that area in which the State-funded project is located, by taking the following steps:

(1) Actively and affirmatively solicit bids for contracts and subcontracts from qualified State certified MBEs or WBEs, including solicitations to M/WBE contractor associations.
(2) Request a list of State-certified M/WBEs from the contracting agency and solicit bids from them directly.
(3) Ensure that plans, specifications, request for proposals and other documents used to secure bids will be made available in sufficient time for review by prospective M/WBEs.
(4) Where feasible, divide the work into smaller portions to enhanced participations by M/WBEs and encourage the formation of joint venture and other partnerships among M/WBE contractors to enhance their participation.
(5) Document and maintain records of bid solicitation, including those to M/WBEs and the results thereof. Contractor will also maintain records of actions that its subcontractors have taken toward meeting M/WBE contract participation goals.
(6) Ensure that progress payments to M/WBEs are made on a timely basis so that undue financial hardship is avoided, and that bonding and other credit requirements are waived or appropriate alternatives developed to encourage M/WBE participation.

EEO

(a) This organization will not discriminate against any employee or applicant for employment because of race, creed, color, national origin, sex, age, disability or marital status, will undertake or continue existing programs of affirmative action to ensure that minority group members are afforded equal employment opportunities without discrimination, and shall make and document its conscientious and active efforts to employ and utilize minority group members and women in its work force on state contracts.

(b)This organization shall state in all solicitation or advertisements for employees that in the performance of the State contract all qualified applicants will be afforded equal employment opportunities without discrimination because of race, creed, color, national origin, sex disability or marital status.

(c) At the request of the contracting agency, this organization shall request each employment agency, labor union, or authorized representative will not discriminate on the basis of race, creed, color, national origin, sex, age, disability or marital status and that such union or representative will affirmatively cooperate in the implementation of this organization's obligations herein.

(d) Contractor shall comply with the provisions of the Human Rights Law, all other State and Federal statutory and constitutional non-discrimination provisions. Contractor and subcontractors shall not discriminate against any employee or applicant for employment because of race, creed (religion), color, sex, national origin, sexual orientation, pregnancy or pregnancy-related conditions, gender identity, familial status, military status, age, disability, predisposing genetic characteristic, marital status or domestic violence victim status, and shall also follow the requirements of the Human Rights Law with regard to non-discrimination on the basis of prior criminal conviction and prior arrest.

(e) This organization will include the provisions of sections (a) through (d) of this agreement in every subcontract in such a manner that the requirements of the subdivisions will be binding upon each subcontractor as to work in connection with the State contract

Agreed to this 2 day of April, 2021

By: DocuSigned by: Paul G. Murray ED31518EA13E4B6...

Print: Paul G. Murray Title: Chief Financial Officer

______________________________ (Name of Designated Liaison) is designated as the Minority Business Enterprise Liaison responsible for administering the Minority and Women-Owned Business Enterprises - Equal Employment Opportunity (M/WBE-EEO) program.

Proof of All Required Insurance

New York State Workers' Compensation Board

CERTIFICATE OF NYS WORKERS' COMPENSATION INSURANCE COVERAGE

<table>
<tr>
<td>1a. Legal Name & Address of Insured (use street address only)
GCOM Software LLC; Gantech, Inc.
Three Sigma Software, LLC
24 Madiscon Avenue Ext, Albany, NY 12203

Work Location of Insured (Only required if coverage is specifically limited to certain locations in New York State, i.e., a Wrap-Up Policy)</td>
<td>1b. Business Telephone Number of Insured
518-755-4091

1c. NYS Unemployment Insurance Employer Registration Number of Insured
53-53826-6

1d. Federal Employer Identification Number of Insured or Social Security Number
20-2902922</td>
</tr>
<tr>
<td>2. Name and Address of the Entity Requesting Proof of Coverage (Entity Being Listed as the Certificate Holder)
New York State Office of General Services, Bureau of Risk and Insurance Management (BRIM)
Corning Tower 32nd Floor
Albany, NY 12242</td>
<td>3a. Name of Insurance Carrier
The Charter Oak Fire Insurance Company
3b. Policy Number of entity listed in box "1a"
UB-7R382350

3c. Policy effective period
01-01-2021 to 01-01-2022

3d. The Proprietor, Partners or Executive Officer are
☒ included. (Only check box if all partners/officers included)
☐ all excluded or certain partners/officers excluded.</td>
</tr>
</table>

This certifies that the insurance carrier indicated above in box "3" insures the business referenced above in box "1a" for workers' compensation under the New York State Workers' Compensation Law. **(To use this form, New York (NY) must be listed under Item 3A on the INFORMATION PAGE of the workers' compensation insurance policy).** The Insurance Carrier or its licensed agent will send this Certificate of Insurance to the entity listed above as the certificate holder in box "2".

The insurance carrier must notify the above certificate holder and the Workers' Compensation Board within 10 days IF a policy is canceled due to nonpayment of premiums or within 30 days IF there are reasons other than nonpayment of premiums that cancel the policy or eliminate the insured from the coverage indicated on this Certificate. (These notices may be sent by regular mail.) **Otherwise, this Certificate is valid for one year after this form is approved by the insurance carrier or its licensed agent, or until the policy expiration date listed in box "3c", whichever is earlier.**

This certificate is issued as a matter of information only and confers no rights upon the certificate holder. This certificate does not amend, extend or alter the coverage afforded by the policy listed, nor does it confer any rights or responsibilities beyond those contained in the referenced policy.

This certificate may be used as evidence of a Workers' Compensation contract of insurance only while the underlying policy is in effect.

Please Note: Upon cancellation of the workers' compensation policy indicated on this form, if the business continues to be named on a permit, license or contract issued by a certificate holder, the business must provide that certificate holder with a new Certificate of Workers' Compensation Coverage or other authorized proof that the business is complying with the mandatory coverage requirements of the New York State Workers' Compensation Law.

Under penalty of perjury, I certify that I am an authorized representative or licensed agent of the insurance carrier referenced above and that the named insured has the coverage as depicted on this form.

Approved by: STEPHANIE BAKER
(Print name of authorized representative or licensed agent of insurance carrier)

Approved by: Stephanie Baker (Signature) 12-30-2020 (Date)

Title: SR CUSTOMER SOLUTIONS REPRESENTATIVE

Telephone Number of authorized representative or licensed agent of insurance carrier: 804-527-4852

Please Note: Only insurance carriers and their licensed agents are authorized to issue Form C-105.2. Insurance brokers are NOT authorized to issue it.

CERTIFICATE OF INSURANCE COVERAGE
DISABILITY AND PAID FAMILY LEAVE BENEFITS LAW

PART 1. To be completed by Disability and Paid Family Leave Benefits Carrier or Licensed Insurance Agent of that Carrier

1a. Legal Name & Address of Insured (use street address only) GCOM HoldCo. 24 Madison Avenue Extension Albany, NY 12203 Work Location of Insured *(Only required if coverage is specifically limited to certain locations in New York State, i.e., a Wrap-Up Policy)* GCOM Software LLC 24 Madison Avenue Extension Albany, NY 12203	1b. Business Telephone Number of Insured (703) 517-9443 1c. Federal Employer Identification Number of Insured or Social Security Number 20-2902922
2. Name and Address of the Entity Requesting Proof of Coverage (Entity Being Listed as the Certificate Holder) NEW YORK STATE OFFICE OF GENERAL SERVICES NEW YORK STATE PROCUREMENT CORNING TOWER - 38TH FLOOR ALBANY, NY 12242	3a. Name of Insurance Carrier Lincoln Life & Annuity Company of New York 3b. Policy Number of Entity Listed in box "1a" 000010260668 3c. Policy effective period: 02/01/2020 to 02/01/2022

4. Policy provides the following benefits:
- ☒ A. Both disability and paid family leave benefits.
- ☐ B. Disability benefits only.
- ☐ C. Paid family leave benefits only.

5. Policy covers:
- ☒ A. All of the employer's employees eligible under the NYS Disability and Paid Family Leave Benefits Law.
- ☐ B. Only the following class or classes of the employer's employees:

Under penalty of perjury, I certify that I am an authorized representative or licensed agent of the insurance carrier referenced above and that the named insured has NYS Disability and/or Paid Family Leave Benefits insurance coverage as described above.

Date Signed 09/02/2020 By Paul Martin

(Signature of insurance carrier's authorized representative or NYS Licensed Insurance Agent of that insurance carrier)

Telephone Number 800-423-2765 Name and Title Paul Martin VP, Group Claims

IMPORTANT: If Boxes 4A and 5A are checked, and this form is signed by the insurance carrier's authorized representative or NYS Licensed Insurance Agent of that carrier, this certificate is COMPLETE. Mail it directly to the certificate holder.

If Box 4B, 4C or 5B is checked, this certificate is NOT COMPLETE for purposes of Section 220, Subd. 8 of the NYS Disability and Paid Family Leave Benefits Law. It must be mailed for completion to the Workers' Compensation Board, Plans Acceptance Unit, PO Box 5200, Binghamton, NY 13902-5200.

PART 2. To be completed by NYS Workers' Compensation Board (Only if box 4C or 5B of Part 1 has been checked)

State of New York
Workers' Compensation Board

According to information maintained by the NYS Workers' Compensation Board, the above-named employer has complied with the NYS Disability and Paid Family Leave Benefits Law with respect to all of his/her employees.

Date Signed ______________ By ______________

(Signature of NYS Workers' Compensation Board Employee)

Telephone Number ______________ Name and Title ______________

Please Note**: Only insurance carriers licensed to write NYS disability and paid family leave benefits insurance policies and NYS licensed insurance agents of those insurance carriers are authorized to issue Form DB-120.1.* ***Insurance brokers are NOT authorized to issue this form.