SLITM Draft Statement of Work

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A.   SERVICES

A.1.   Overview

This document sets forth information regarding the scope of Contractor's required services and deliverables under this Contract. Section A.2, below, provides an overview of the SLP operations and business processes. Contractor's solution must be capable of supporting all of the operations and business processes. Section A.3 identifies the current systems used for performance of SLP operations and business processes. Section A.4 sets forth Contractor's requirements for modernizing the current systems to perform the SLP operations and business processes, as described in Section A.2, in accordance with the requirements set forth in this Contract.

A.2.   Schools & Libraries Program (SLP)

A.2.A.   SLP Overview

The SLP, commonly known as the "E-rate program" provides approximately $2.25 billion in discounts annually to assist public and private schools and libraries throughout the United States in obtaining affordable telecommunications, Internet access, and some information technology products and services. Telecommunications; Telecommunications Services; Internet Access; Basic Maintenance of Internal Connections; and Internal Connections are the service categories funded. Eligible recipients receive discounts ranging from 20% to 90% of the costs of eligible services, depending on the level of poverty and the urban/rural status of the population served. Eligible schools, school districts, and libraries may apply individually or as part of a consortium.

The SLP supports connectivity – the conduit or pipeline for communications using telecommunications services and/or the Internet – and in certain cases, the information technology products and services needed to bring that connectivity to the classroom or library space. The schools and libraries receiving support are responsible for providing additional resources such as end-user equipment, i.e. computers and telephones; software; professional development; and other elements necessary to utilize the benefits of connectivity.

Eligible schools and libraries apply for funding in a multi-step process. First, schools and libraries write a technology plan which outlines their plans for using technology to improve education or library services. Then, applicants must file FCC Form 470, *Description of Services Requested and Certification Form,* to begin the competitive process and ensure an open and fair competitive bidding process for specific products. Applicants indicate on the FCC Form 470 the type of services they are seeking and identify the recipients of the services. Each FCC Form 470 is posted on the USAC website so that potential prospective bidders can review the requests and contact the applicants about their service offerings. Applicants must follow all of their own applicable state and local procurement rules and regulations.

Applicants must wait at least 28 days after posting the FCC Form 470 on the USAC website before selecting a service provider in order to ensure a fair and open competitive bidding process. After the waiting period, applicants can then select a service provider and enter into an agreement(s) to receive the services under tariff, month-to-month, or in a contract arrangement.

Once the application filing period ("window") has opened – generally early January before the start of the funding year – applicants can file FCC Form 471, *Services Ordered and Certification Form*. On this form, applicants request support for specific services to be delivered at specific locations, with a specific discount, and for a specific price. Applicants must file this form during the application window, which is generally about 75 days long. Applications received after the close of the window are considered for funding only after all of the applications that were received within the window have been fully funded. Historically there has not been sufficient funding available to provide support to late-filed applications.

After the applications are received by USAC, they are reviewed for compliance with FCC rules. This complex and detailed process is outlined in greater detail in section A.2.C.2.b below. A computerized system flags potential rule violations, and the application reviewers then contact the applicant and/or service provider to resolve the issues in order to make a funding decision for each funding request listed on the application.

Applicants and service providers receive a Funding Commitment Decision Letter (FCDL) at the conclusion of the review process, which indicates the funding decision and the amount of funding awarded. These funding decisions are appealable to USAC and the FCC. After service-delivery has begun, the applicant completes FCC Form 486, *Receipt of Service Confirmation Form*, which authorizes USAC to pay invoices. Applicants have a deadline to file this form; if they do not file by the deadline, a reminder letter is issued giving them 15 additional days to file before the funding commitment is reduced. The later the form is filed, the more funding is recaptured. A computerized system flags FCC Forms 486 that have potential technology plan and/or Children's Internet Protect Act (CIPA) violations. The application reviewers contact the applicant to resolve the technology plan issues before the FCC Form 486 can be certified. Finally, applicants or service providers submit invoice forms. Applicants have the choice of receiving discounts on their bills (in which case the service provider bills USAC directly for the discounted portion by submitting FCC Form 474, *Service Provider Invoice Form)*, or paying the provider in full and being reimbursed for the discounted portion by submitting FCC Form 472, *Billed Entity Applicant Reimbursement Form.* All invoices are reviewed by a computerized system, and some trigger a manual review based on a variety of criteria. During the manual review of the flagged invoices, the applicant and/or service provider may be contacted for additional documentation to resolve the issue. At the conclusion of the review, the authorized payment amount is approved for disbursement. Disbursement is always to the service provider, though in the case of the reimbursement, the service provider acts only as the pass-through to the applicant for the funds.

Applicants and service providers can appeal any decision of USAC to the FCC. Applicants must maintain their records for at least five (5) years from the last date to receive service to be able to comply with audits and other inquiries or investigations. USAC and the FCC perform audits of selected applicants to ensure services have been delivered in compliance with FCC rules. If a determination is made that FCC rules were violated, USAC may be required to rescind or reduce funding commitments and seek recovery of disbursed funds associated with the rule violation.

All of the concepts covered in this overview are discussed in more detail on the USAC website at http://www.usac.org/sl. Specific information on completing the individual forms can be obtained

by downloading the forms and instructions from the website. In addition, the Reference Area of the website contains information on deadlines, sample letters, frequently asked questions, and other useful information. Key program dates and deadlines that drive workload throughout the year are included in Table 1 below and the key dates for a sample funding year is shown in Attachment 1.

The FCC's rules governing the SLP are located at 47 C.F.R. § 54.500 through § 54.523. The FCC has also issued numerous orders and decisions on appeals of USAC decisions. These orders are located at the following link at the FCC's website: http://www.fcc.gov/wcb/tapd/universal_service/schoolsandlibs.html. Additional rules governing USAC's administration of the programs are located at 47 C.F.R. § 54.701 through § 54.725.

Table 1 – SLP Timetable and List of Deadlines

Form or Event	Current Deadline or Dates
Funding Year	July 1 through the following June 30.
FCC Form 470	Posted at least twenty-eight (28) days before the filing of the FCC Form 471, keeping in mind the timeframe for compliance with all competitive bidding requirements. The FCC Form 470 is generally available 13 months in advance of the start of the funding year.
FCC Form 471 window	Early January to mid-March preceding the start of the Funding Year (exact dates for each funding year will be posted on the website).
FCC Form 471	Received or postmarked no later than 11:59 PM EDT on the day of the close of the FCC Form 471 application filing window (exact date will be posted on the website).
FCC Form 486	Received or postmarked no later than one hundred twenty (120) days after the date of the FCDL or one hundred twenty (120) days after the Service Start Date, whichever is later. If not filed by the deadline, a reminder letter is issued and provides 15 additional days to file the form.
FCC Form 472/ FCC Form 474	Received or postmarked no later than one hundred twenty (120) days after the date of the FCC Form 486 Notification Letter or one hundred twenty (120) days after the last date to receive service, whichever is later.

Form or Event	Current Deadline or Dates
Appeals	Received or postmarked no later than sixty (60) days after the date of the SLP decision letter.
Service Delivery	Recurring services through June 30. Non-recurring services through the following September 30.

A.2.B.   Key Stakeholders

Approximately 100,000 schools and libraries across the country participate in the SLP. Applicants in the SLP range from large, urban school districts – to statewide consortia – to small, rural libraries. These applicants are served by approximately 4,200 service providers, ranging from some of America's largest corporations to small, family-owned businesses. Members of USAC's Board of Directors represent various stakeholder-communities in the universal service support programs and directly oversee implementation of the programs. USAC conducts calls with representatives from the various applicant-groups, as well as with the service provider community, to ensure effective communication and understanding of issues important to the various stakeholders.

One of USAC's most important stakeholders is the FCC, which sets policy for USAC programs and provides close oversight of program operations. Members of Congress also scrutinize the operations of these programs to ensure they are properly administered and to act as advocates on behalf of their constituents. To fulfill its outreach mission, USAC works not only with the direct beneficiaries of the programs, but also with a wide variety of associations, state agencies and other federal agencies who represent program beneficiaries. USAC also supports federal, state, and local law enforcement agencies in their efforts to prosecute or bring civil actions against beneficiaries who break the law. All of these stakeholder groups have interests and concerns that must be considered and addressed on an ongoing basis. To that end, USAC is committed to an on-going dialogue with these groups and conducts regular calls and meetings with them to facilitate that communication.

A contractor to USAC performs substantial SLP operations in conjunction with USAC SLP division staff. The term "operations personnel" used in this SOW refers to both or either the contractor and USAC SLP division staff.

A.2.C.   SLP Operations

Descriptions of the current processes for the SLP are provided in the sections below. Further information on the current SLP processes is available on the SLP website at http://www.usac.org/sl.

A.2.C.1.   Manage Fund Year

The budget, attributes, actions, deadlines and events for a funding year are managed and maintained specifically for that funding year.

A.2.C.1.a.   Budget Management

A.2.C.1.a.1.   *Funding Year Budget*

The funds available for a funding year is established based on FCC rules. Currently it is calculated by adjusting the $2.25 billion base amount by an inflation factor and any FCC established rollover amount from unreserved funds from prior funding years. The funding year amount is reduced by SLP administrative costs to calculate the amount available for commitment.

A.2.C.1.a.2.   *SLP Demand Projection*

USAC submits a demand projection to the FCC after the close of the FCC Form 471 filing window. A system-generated analysis is executed to formulate the demand projection calculation. The analysis includes, but is not limited to, the number of FCC Form 471 applications and Funding Request Numbers ("FRNs") received electronically and on paper, and the discounted and undiscounted amount requested by service category stratified by discount percentage for each FRN. An FRN is a unique number assigned to each funding request. There can be one or more FRNs on each FCC Form 471. A tool is available to run the queries on an on-demand basis. This analysis is updated periodically with information about funding commitments as applications are processed for a funding year. These updates facilitate decisions regarding discount levels and thresholds for priority two (internal connections and basic maintenance of internal connections) funding.

A.2.C.1.a.3.   *Discount Level Funding Management*

Funding commitment decisions, (i.e., the obligation of funds), is managed at the discount level within each of the four service categories that can be funded: Telecommunications Services, Internet Access, Basic Maintenance of Internal Connections, and Internal Connections. Discounts range from 20% to 90% of the costs of eligible services. When commitments are allowed for each discount level within each service category is an individual decision and timeframe for that funding year based on the SLP demand projection as described in A.2.C.1.a.1 above.

A.2.C.1.a.4.   *Eligible Services List (ESL)*

For each funding year, the FCC issues the ESL. The ESL provides guidance to program participants on the eligibility of products and services for the E-rate program. The ESL is organized into five sections that represent the five funding categories established by the FCC plus a miscellaneous section that is applicable to multiple categories. Those five sections are Telecommunications Service, Telecommunications, Internet Access, Internal Connections and Basic Maintenance. The ESL is maintained specifically for that funding year.

A.2.C.1.a.5.   *Funding Year Rollover*

Each funding year, a portion of E-rate funds remains unused. In 2003, the FCC amended its rules and required that unused E-rate funds be identified in prior years be used to increase the annual funding cap for the next E-rate funding year. The FCC determines if and when any unused funds from a previous year will be rolled over to a later funding year.

A.2.C.1.b.   **Procedures**

FCC and program rules are the basis of the SL program procedures. The procedures are governing documents used by reviewers when conducting compliance reviews (e.g., PIA, TPA, invoicing, etc.). Each compliance review process maintains its own procedures. Program Integrity Assurance (PIA) procedures are funding year specific and must be approved by the FCC prior to USAC issuing a funding commitment decision for that particular funding year.

A.2.C.1.c.   **Program Due Dates Management**

There are funding year timelines and deadlines for key program events. There are additional due dates for change requests, responses to SLP requests such as for supporting documentation, and requests for extensions such as invoice deadline extension. Deadlines and due dates vary by funding year and are maintained for each funding year.

A.2.C.1.d.   **Correspondence Content**

The content of applicant and service provider letters, notification, and decisions are defined on a funding year basis and are specific to that funding year. This content may include the insertion of standard text and information specific to the associated outcome of a review or action.

A.2.C.2.   **Pre-Commitment Processes**

A.2.C.2.a.   **Application In-Take**

To apply to the program, both the FCC Form 470 and 471 must be submitted in accordance with FCC rules. The application-related forms may be submitted electronically, in paper, or combination of paper and electronic submissions. For example, the Item 21 attachment to an FCC Form 471 could be submitted in paper for an electronically-submitted FCC Form 471. For further details on these forms, refer to USAC SLP website.

 A.2.C.2.b.   **Review Application**

FCC Forms 470 submitted by applicants are posted to USAC's website. Reviews by USAC are not required for the FCC Form 470 posting to USAC's website. Data from these forms are stored and used in FCC Form 471 application review process. FCC Form 471 applications are reviewed according to detailed funding year-specific Program Integrity Assurance (PIA) reviews and other applicable procedures as approved by the FCC to ensure compliance with FCC regulations, orders, appeals decisions, and other guidance. The annual FCC Form 471 PIA Review Procedures incorporate: (1) any changes in FCC regulations or clarifying guidance in FCC Orders, (2) any changes made to the FCC Form 471, (3) any changes identified during USAC's continued efforts to address potential problems or errors made in applications, and (4) changes that address new processes to reduce potential waste, fraud, and abuse and ensure rule compliance.

When an FCC Form 471 application is received within the filing window and has been certified by the person authorized to do so, it is subject to pre-commitment reviews as set forth in the FCC Form 471 PIA Review Procedures applicable for that funding year. Note that the SLP has applications open in funding year 1998 and each subsequent funding year. However, the

majority of the applications for previous years are concentrated in the most recent two funding years. The number of these prior-year applications open is in the hundreds.

A.2.C.2.b.1.   *FCC Form 471 Application Review*

PIA reviewers: (1) attempt to resolve all potential issues through the review steps set forth in the applicable FCC Form 471 PIA Review Procedures, including applicant contact (unless existing documentation resolves the issues); (2) make a funding decision based on the results of this process (i.e., approve, increase original request, decrease original request or deny funding); (3) document the results of the review and the reason for the funding decision in the review tool; (4) store supporting documentation; (5) implement the funding decision; and (6) advise the applicant and service provider(s) of all the reasons for the funding decision.

A.2.C.2.b.2.   *Services Review*

The reviewer performs a service review on each FRN on an application. The reviewer verifies that the specific products and services requested are eligible for funding under the conditions for funding established by the FCC's   Eligible Services List (ESL). The ESL provides specific conditions of program eligibility for many commercially available products and services. Determining the eligibility of services and equipment under program rules is a prime responsibility of the service reviewer. This determination will be consistent with the FCC's annual ESL located on the USAC website. Reviewers must have detailed knowledge of telecommunications services, network architecture, and information technology components in order to perform this review and apply program rules to specific equipment and circumstances. Furthermore, this review may require specific review processes that go beyond determining if an individual component is eligible for funding to determining if the products and services and the manner in which they are being provided meet certain conditions laid out in FCC rules. The service review process can be complex and labor-intensive, and extensive procedures for the service reviews constitute a significant portion of the annual PIA procedures governing the FCC Form 471 review process.

A.2.C.2.b.3.   *Other Reviews*

Other types of reviews are conducted on applications meeting certain criteria within a funding year. These other reviews, when needed, occur concurrently with the regular reviews. These reviews are documented in the review system, supporting documentation is stored, and the decisions are implemented. The procedures required by this review are set forth in the FCC Form 471 PIA Review Procedures for each funding year.

A.2.C.2.b.4.   *SLP Quality Assurance*

Quality Assurance ("QA") is critical to continuous improvement in management and operational processes. QA ensures high-quality products and services conforming to USAC needs and FCC rules and promotes innovative and cost-effective solutions. To achieve these critical QA outcomes, applications meeting certain criteria within a funding year are selected for QA at the operations contractor level. A secondary USAC QA review with its own selection criteria reviews is performed for selected applications. Quality metrics including error rates are generated and reported at least monthly.

A.2.C.3.   **Commit Processes**

Funding commitment decisions are issued in "waves," or regular cycles consistent with the FCC's rules of priority as defined in FCC rules. Waves are run for each funding year as the reviews of applications for prior and new funding year applications are completed. Waves for the current funding year are run on a weekly basis, and the waves for prior years are run when applications are ready for commitment, but not more than once a week. In addition, post-commitment funding waves are run on a similar schedule. This means that on average, a wave is run every day.

A.2.C.3.a.   **USAC Authorization**

Using the Demand Projection and the weekly summary of the level of funding (*see A.2.C.1.a*) prepared by SLP, the FCC and USAC's Board of Directors authorizes the SLP to issue funding commitments for priority one (telecommunications and Internet access) and priority two (internal connections and basic maintenance of internal connections) requests. The FCC and USAC's Board of Directors also authorize the minimum and the maximum discount levels for denial of priority two requests for each wave. Throughout the review process, USAC will provide up-to-date estimates of the maximum level of discounts authorized for denial of priority two requests for the funding year. Reviews are not completed on these requests unless they are likely to be funded.

A.2.C.3.b.   **Schedule**

Waves are run on a defined schedule for the current funding year. With only the following two exceptions, all funding decisions on a single FCC Form 471 application must be in place for all FRNs before a commitment can be issued:

- <u>As Yet Unfunded</u>. Priority two FRNs may be reviewed and included in a wave, even if USAC has not yet determined that sufficient funds are available to fund these FRNs. This will allow FCDLs to be sent to the applicant and service provider with a funding status of "As Yet Unfunded" until the priority two discount funding level is determined. Once the funding is determined, a second letter will be sent to inform the applicant and service provider of the final decision for the affected FRN.

- <u>Under Review.</u> On a special-case basis, certain FRNs will need to be held pending additional review. These FRNs may be included in a wave with a funding status of "Under Review." This allows the applicant and service provider to receive commitment decisions on one or more, but not all FRNs on an application, while others FRNs are still being reviewed. This status will allow further review work to be performed, and when the final decision is made, the final funding decision for each FRN will be sent in a second FCDL.

A.2.C.3.c.   **Commitment**

Applications are ready for commitment following application review and a funding decision determination. After receiving approval to process, the wave process is initiated, and then commitment reports are generated to provide funding information for the specific wave. Funding commitments for the SLP are considered "obligations" for federal budgetary accounting

purposes. The *Federal Anti-deficiency Act* (ADA)[1] requires that unobligated resources be available before any obligation can be incurred, therefore, commitments may only be issued when unobligated cash is available. USAC Finance Department verifies that there are sufficient unobligated funds for the funding year and to approve the obligation. The Vice President of SL division (or designee) and the operations General Manager (or designee) jointly authorize the commitment process in writing. Upon completion of the commitment process, FCDLs letters are mailed to the applicants and to each of the service providers listed on the FRNs on the application. Service providers can receive a paper, electronic or both notifications. Further information can be found at: http://www.usac.org/sl/providers/step06/electronic-notifications.aspx. The service provider FCDL letter only contains the FRNs for which they have been selected to provide service.

A.2.C.3.d. Invoicing Processes

A.2.C.3.d.1. Invoice Receipt

Stakeholders submit paper FCC forms, electronic invoice forms, and online forms to request disbursements. These requests for disbursements may be submitted after the FCC Form 486 is certified by the applicant and prior to the invoice deadline. There is a significant increase in the volume of submissions near the invoice deadlines. Certain invoice line items contained on an invoice (FCC Forms 472 or FCC Forms 474) are selected for review consistent with the applicable procedures. Program deadlines and timelines dictate processing invoice line items across all required funding years simultaneously. Invoices and invoice line items are reviewed consistent with the procedures.

Flat file electronic invoices are also accepted and processed (FCC Form 474 Service Provider Invoice) sent via e-mail by service providers. This includes placing the invoice files in the appropriate directory via an FTP for processing and archiving the e-mail and file. Once the invoice file is loaded, it is processed in the same manner as all other invoices via a batch overnight process.

A.2.C.3.d.2. Invoicing Review

Reviewers process each line item that requires review in the online review system. The major review steps are as follows:

A.2.C.3.d.2.i. Review

The reviewer determines the amount to pay for an invoice line item through further review as instructed by invoicing procedures, including applicant or service provider contact, unless existing documentation resolves the issues. If appropriate, the Red Light Rule as required by FCC rules[2] is applied.

A.2.C.3.d.2.ii. Service Check

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[1] 31 U.S.C. §§ 1341-1342, 1517.

[2] 47 C.F.R. § 1.8002(a)(6)

The reviewer obtains a copy of the service provider's bill to its customer and verifies, that the services and products invoiced were included in the services and products for which funds were committed in PIA review as adjusted, when applicable, by any subsequent reviews (such as an appeal review).

A.2.C.3.d.2.iii.   Service Certification

The reviewer obtains a certification from the applicant that the goods and/or services for which payment is being sought have been provided or that the contract between the applicant and service providers provides for up-front or progress payments.

A.2.C.3.d.2.iv.   Payment Verification Review

The reviewer obtains documentation from the applicant demonstrating that the applicant paid the non-discount share.

A.2.C.3.d.2.v.   Rejected Invoices

The reviewer will communicate to the applicant or service provider if the funding is not fully approved. The reason and the payment decision are communicated to the applicant and service provider in the remittance details provided with the applicable payment.

A.2.C.3.e.   Payment Process

All invoice line items approved for payment through invoicing review (manual or automated) are submitted for payment approval at determined intervals. Such submissions are currently 1 p.m. Eastern Time on Mondays and Thursdays, but may be modified. This twice-weekly schedule balances timely payments to service providers and operational efficiency. The approved payment file with remittance details is sent to USAC Finance for processing. SLP does not actually disburse payments to service providers. USAC Finance performs the disbursement and currently uses Microsoft Dynamics GP® for USF Accounting and a custom payment processing system.

A.2.C.3.f.   Invoice Deadline Extensions and Service Deadline Extensions

Service providers or applicants may request extensions to invoice or to receive services. Invoice and service delivery deadline extension requests are documented, processed and tracked consistent with the applicable procedures.

A.2.C.3.g.   Dunning

An applicant may notify the SLP that a service provider is not passing FCC Form 472 funds to the applicant. Dunning issues are documented, processed and tracked consistent with applicable procedures.

A.2.C.3.h.   Good Samaritan

An applicant may request payment of FCC Form 472 funds via a conduit for payment ("Good Samaritan"). The conduit must be an eligible telecommunications service provider. Good

Samaritan requests are documented, processed and tracked consistent with applicable procedures.

A.2.C.3.i.   Invoice Appeals

Appeals of invoice, extension, bankruptcy, dunning or Good Samaritan decisions are processed consistent with applicable procedures.

A.2.C.4.   Make Payment

Payment disbursement for the SLP is made by USAC Finance as described in Section A.2.C.3.e. The payment file provided by SLP to USAC Finance contains the SPIN and payment amount along with the associated FRN remittance details to be provided to the service provider. Payment issuance acknowledgement is provided by USAC Finance to SLP at the summary level with individual details for payment with issues if not resolvable by USAC Finance.

A.2.C.5.   Post-Commitment Processes

A.2.C.5.a.   Commitment Adjustments (COMADs) and Recovery of Improperly Disbursed Funds (RIDFs)

The COMAD and RIDF processes adjust funding commitments and seek recovery of improperly disbursed funds as the determination is made that commitments and disbursements were made in violation of program rules. These processes can be triggered by a variety of inputs including, but not limited to, audits. COMADs and RIDFs are documented, processed and tracked consistent with the applicable procedures.

A.2.C.5.a.1.   Review Process

The FRNs are marked with a status of pending COMAD or RIDF determination and invoices for the associated FRN will not be paid while the FRN has this status. The reviewer investigates, in conformance with COMAD/RIDF procedures, the issue raised including determination of the party from whom recovery is to be sought. Upon completion of the review, the reviewer will determine if the status should be removed in accordance with the approved procedures. The reviewer adheres to any other status outstanding on an application, entity, SPIN or FRN regardless of the date the status was changed. The COMAD/RIDF decision is not granted until the condition or direction related to the outstanding status has been fully addressed.

A.2.C.5.a.2.   Letters Issued

If the COMAD/RIDF is determined to be appropriate, the reviewer issues the following letters, as necessary, on a timely basis to the appropriate parties:

- Notification of Commitment Adjustment Letter.
- Notification of Recovery of Improperly Disbursed Funds.
- First Demand Payment Letter.
- Second Demand Payment Letter.

- Final Demand Payment Letter.
- Payment Completion Letter.

A.2.C.5.a.3. *Red Light*

If the affected party does not repay the funds due by the required date, and does not appeal the COMAD or RIDF determination; or if an entity appears on the FCC/USAC Red Light list provided by USAC Finance, the reviewer follows the Red Light procedures to turn on the Red Light for the billed entity. USAC SLP management and the appropriate review team are also informed so that reviewers may hold affected applications until resolution and dismiss them, if not resolved, in accordance with that review team's procedures. This process is documented, processed and tracked consistent with the applicable procedures.

A.2.C.5.a.4. *Debt Collections Improvement Act (DCIA) Transfer*

If the affected party does not repay the funds by the required date, and does not appeal the COMAD or RIDF determination, the reviewer follows the DCIA procedures to transfer the debt to the Federal government for collection. Additionally, the SLP Customer Service team answers inquiries relating to debts previously transferred via the DCIA process. This process is documented, processed and tracked consistent with the applicable procedures.

A.2.C.5.a.5. *Payment Plan*

The affected party may request a payment plan. As part of this process, the reviewer coordinates with USAC to ensure that USAC has the appropriate information to process the payment plan request. This process is documented, processed and tracked consistent with the applicable procedures.

A.2.C.5.a.6. *Revised Commitment*

If the reviewer decision results in a change to the current funding commitment dollars, the reviewer revises the appropriate value in the appropriate system.

A.2.C.5.b. **FCC Form 486 Reviews**

A.2.C.5.b.1. *Children's Internet Protection Act[3] (CIPA) Review*

FCC Forms 486 that meet the requirements for a CIPA review are automatically identified by the current system. Reviewer validates that the applicant is currently CIPA compliant, or is in the process of becoming CIPA compliant and was not also in process of becoming CIPA compliant on the prior year FCC Form 486. CIPA reviews are implemented and tracked consistent with applicable procedures.

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[3] Pub. L. 106-554 § 1701.

A.2.C.5.b.2. *Technology Plan Approver (TPA) Review*

FCC Forms 486 meeting the requirements for a TPA review are identified by the current system. Reviewers then determine if the technology plan and the approver listed on the FCC Form 486 satisfy program rules. If the plan and the approver are in compliance, the FCC Form 486 is certified. If they are not in compliance, the FCC Form 486 is rejected or modified. These reviews are implemented and tracked consistent with applicable procedures.

A.2.C.5.c. **Decide Appeals**

This process provides stakeholders with the opportunity to appeal any SLP-related decision. Appeals are processed consistent with the procedures established for the relevant funding year and the USAC guidelines for processing appeals. This includes implementing applicable changes in FCC rules, updates, and orders; and changes in review procedures that occurred subsequent to the initial review decision. The appeals process is also used to correct any decision errors made by SLP operations.

A.2.C.5.c.1. *Receipt*

Upon receipt of the appeal, the appellant is notified that the appeal has been received. Key information is inputted regarding all appeals received (i.e. contact information) into the online review system and then the appeal is scanned into CRMS. The appeal letter is reviewed to determine the reason for the appeal and to classify it based on appeal type and appeal category. This classification is inputted into the system.

A.2.C.5.c.2. *Waiver Requests*

If the request includes waiving FCC rules, such as the waiver of the FCC filing window, a Waiver Request Letter is sent informing the appellant that only the FCC has authority to grant such requests and the appeal is dismissed.

A.2.C.5.c.3. *Timeliness*

The reviewer verifies that the appeal letter was submitted within the required period of time following the issuance of the decision being appealed. An out-of-window denial letter is sent to the appellant if the appeal letter was submitted after the allowed time period. The reviewer adheres to any status that impact issuing an appeal decision, regardless of the date the status change was placed on the application, entity or FRN within the scope of the appeal. The appeal decision is not granted until the direction related to the status has been completed.

A.2.C.5.c.4. *Review Process*

For timely appeals, the reviewer proceeds as follows:

A.2.C.5.c.4.i. *Determine Issue*

The reviewer determines from the appeal letter what specific issue is being appealed and the specific basis of the appeal.

A.2.C.5.c.4.ii. *Review Issue*

The reviewer researches the issue raised by the appellant by reviewing the decision and supporting documentation provided by the original reviewer.

A.2.C.5.c.4.iii. *Determine Merit*

The reviewer evaluates if the appeal has merit based on the Appeals Guidelines posted on the USAC website and based on the procedures for the decision being appealed.[4] The Appeals Guidelines are incorporated into the appeals procedures.

If the appeal has merit, the reviewer approves the appeal. If it does not, the reviewer denies it. If some issues have merit, the appeal is partially approved. If the issue on appeal is an un-appealable event, has already been resolved or is unrelated to the actual decision on the request being appealed, the appeal is dismissed.

A.2.C.5.c.4.iv. *Approved or Partially Approved*

If the appeal is approved or partially approved, the reviewer ensures that all other issues related to the appealed request are cleared. If the request fails on any of these other issues, funding is denied or appropriately reduced.

A.2.C.5.c.4.v. *Change in Funding*

If the appeal decision results in a change in funding from the level being appealed, the reviewer revises the appropriate dollar value in the appropriate system.

A.2.C.5.c.4.vi. *Notification*

The appellant is notified of the decision on the appeal, including the dollar impact. The decision and reason for the decision will be communicated through one or more of the following letters: Appeal Decision Letter (ADL), Revised Funding Commitment Decision Letter (RFCDL) or FCC Form 486 Notification Letter (NL) consistent with applicable procedures.

A.2.C.5.c.4.vii. *Standard Form and Standard Wording*

If the appeal decision does not fully grant the appeal, comments summarizing the basis for the appeal decision are incorporated into the decision letter provided to the appellant. To the extent standard wording has been defined and approved; it is used in the letter.

A.2.C.5.c.4.viii. *FCC Referrals*

If an issue is appealed but all appeal opportunities with USAC have been exhausted, the appeal will be referred to the FCC for review.

A.2.C.5.c.5. **FCC Remands**

Stakeholders may appeal a USAC decision to the FCC or request a waiver of the FCC rules. If an appeal to the FCC is granted and remanded to USAC for further action, the reviewer

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[4] http://www.usac.org/sl/about/appeals/appeals-guidelines.aspx

undertakes the action required by the FCC and completes the review of the application or invoice consistent with applicable procedures.

A.2.C.5.c.6.　　　　Appeals Commitment Process

RFCDLs are issued in "waves" on a defined schedule. The process followed is similar to that followed in the Application Funding Commitment Process.

A.2.C.5.d.　　　　Process Returned Funds

Applicants and service providers may return funds to SLP because they reduced or canceled services and received a disbursement for those services. A payment is issued to USAC. Funds are also returned to SLP through the COMAD and RIDF processes. The funding commitments are adjusted and/or recovery is sought for improperly disbursed funds because commitments and disbursements were made in violation of program rules. These COMADs and RIDFs can be triggered by a variety of inputs including, but not limited to, audits. All returned funds are documented, processed, and tracked consistent with the applicable procedures.

A.2.C.5.e.　　　　Request and Process Change Requests

A.2.C.5.e.1.　　　　Applicant Initiated Form Changes

A.2.C.5.e.1.i.　　　　FCC Form 470 RNL Changes/Cancellations

The applicant may request correction of errors on a FCC Form 470 for Ministerial and Clerical errors, as described on USAC's website[5]. Corrections can be submitted until the FCDL is issued. Operations personnel determine if a requested correction is an allowable Ministerial or Clerical error correction and implement. Some corrections require review before determining if the correction is allowable or not. If the correction is not allowable, Operations personnel notify the applicant in writing as to why the requested change cannot be processed. The documentation is stored in document repository.

A.2.C.5.e.1.ii.　　　　FCC Form 471 Receipt Acknowledgement Letter (RAL) Corrections

The applicant may request pre-commitment ministerial and clerical error corrections to the FCC Form 471 through submission of a corrected RAL. Corrections can be submitted until the FCDL is issued. In conformance with the applicable procedures, all RAL request documentation is stored in the document management system. The RAL corrections are processed and tracked consistent with the applicable procedures.

A.2.C.5.e.2.　　　　Applicant Initiated Post-commitment Changes

A.2.C.5.e.2.i.　　　　FCC Form 471 Blocks 1 and 4 Modify

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[5] http://www.usac.org/sl/tools/reference/what-applicants-need-to-do.aspx

Applicants may request modification of Block 1 or 4 information on an FCC Form 471 for which a funding commitment decision has already been made. The authorized reviewer evaluates if the current Block 1 information creates a program integrity issue consistent with the applicable procedures listed. If no issue is created, the reviewer modifies the information in response to the applicant's request. If an issue does exist, the reviewer does not implement the request. These requests are processed and tracked consistent with applicable procedures.

A.2.C.5.e.2.ii. *Voluntary Reductions of Support*

Applicants are encouraged to notify USAC if and when they determine they will not use the full amount of approved support or cancel the FRN or application. Reduction or cancelation requests are submitted through FCC Forms 500. In the post-commitment processing, an authorized reviewer implements such reductions by reducing the amount of support for the affected FRNs. Then the appropriate letter is issued to applicants and service providers to reflect the change. These requests are documented, processed, and tracked consistent with applicable procedures.

A.2.C.5.e.2.iii. *Split FRNs*

Applicants are allowed to split an FRN between two or more service providers thereby reallocating previously committed dollars. If the FRN has already been processed through commitment, a split-request is allowed only if the FRN has an approved status. An FRN extension, where applicable, is implemented in accordance with established procedures. The reviewer implements these splits consistent with requirements set forth in procedures and then issues an RFCDL to applicants, the old service provider, and the new service provider. The majority of the Split FRNs are a direct result of approved SPIN changes. These requests are documented, processed, and tracked consistent with applicable procedures.

A.2.C.5.e.2.iv. *SPIN Changes*

Applicants may request a change in the service provider associated with an FRN. This is referred to as a SPIN change. If the FRN has already been processed through commitment, a SPIN change request is allowed only if the FRN has an approved status. E-mail notifications are sent to the applicant and to both the old and new service providers. Additionally, the applicant and new service provider will receive an RFCDL. An FRN extension, where applicable, is implemented in accordance with established procedures. These requests are documented, processed, and tracked consistent with applicable procedures. In addition, Global SPIN changes are tracked and processed as submitted by USAC Finance Division in conformance with applicable procedures.

A.2.C.5.e.2.v. *Service Substitutions*

An applicant or service provider may request a change to the services or products originally requested on the FCC Form 471. The reviewer documents, processes, and tracks all such requests in conformance with established procedures, and must confirm the adherence to procedures of all such requests before approving them. An FRN extension, where applicable, is implemented in accordance with established procedures. An RFCDL will be issued to all affected parties upon completion of the review indicating whether or not the request was approved and the funding impact, if any, on affected FRNs. If the FRN funding is impacted, the

FRN is modified in the appropriate systems. These requests are documented, processed, and tracked consistent with applicable procedures.

A.2.C.5.e.2.vi. *Equipment Transfers*

Applicants can transfer equipment in the following two situations, but in neither circumstance can equipment be transferred for money or anything of value: 1) Three years after the date of purchase, equipment can be transferred to other eligible entities, 2) If an entity has permanently or temporarily closed, equipment can be transferred to another eligible entity within three years from delivery of service. Applicants with equipment transfers falling into the second category are required to notify USAC of the transfer. Such requests are documented, processed, and tracked consistent with the applicable procedures.

A.2.C.5.e.2.vii. *State Replacement SPIN Change*

Applicants may use a state master contract to request services. Applicants use the state replacement SPIN when the state has not selected the service provider at the time the FCC Form 471 is filed. Applicants submit a state replacement SPIN change request once a service provider is selected and a funding commitment decision letter has been issued. Requests are documented, processed, and tracked consistent with the applicable procedures.

A.2.C.6. Manage Whistleblower

In response to a whistleblower allegation, the whistleblower reviewer, working in conjunction with USAC, develops an investigation plan and then implements the plan to investigate specific whistleblower allegations. The steps undertaken are conducted in accordance with the applicable procedures and with USAC approval.

A.2.C.7. Provide Customer Service

A.2.C.7.a. Incoming Communication and Response

A.2.C.7.a.1. *Customer Contact Center*

Toll-free customer service telephone numbers are provided to respond to caller inquiries with access to live Customer Service Representatives (CSRs) on weekdays from 8:00 a.m. to 8:00 p.m. Eastern Time with the exception of non-business days. Voice mail is available during all other times. The toll-free numbers are available from all 50 states, the District of Columbia, the U.S. Virgin Islands, Puerto Rico, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands. Inbound and outbound calls, web-based questions through E-mail Response (EMR), and faxes are supported.

A.2.C.7.a.2. *Temporarily Extended Contact Center Hours*

Hours of operation are extended to accommodate periods of peak activity near the close of the annual FCC Form 471 filing window. To accommodate peak activity prior to the window close, the hours are 9:00 a.m. to 6:00 p.m. Eastern Time on the Saturday and Sunday preceding the window close date, and from 8:00 a.m. to 11:59 p.m. Eastern Time on the day the window closes.

A.2.C.7.a.3. Interactive Voice Response (IVR)

An IVR is provided to allow stakeholders to obtain routine information regarding their submissions and general program information without live operator intervention. The IVR unit provides the following capabilities:

- Route a call to a live CSR with appropriate skills.
- Allow recorded voice instructions to guide callers to desired information, results, or destinations.
- Provide answers to FAQs.
- Allow a caller to leave a voice mail message requesting a return phone call.
- Allow a caller to leave a voice mail message requesting blank forms.
- Allow a caller to check the status of any filed FCC Form 471.
- Provide the caller with an approximate waiting time before receiving a live answer during peak periods.
- Provide USAC with the number of requests for recorded information (FAQs) and the number of requests for each IVR menu topic.

A.2.C.7.a.4. Fax Capability

Inbound and outbound fax capability is utilized by the SLP Customer Service team to send, receive, and confirm receipt of sent faxes to and from stakeholders. Except for agreed-upon intervals for maintenance and updating, 24x7x365 access by stakeholders is provided to fax receipt systems.

A.2.C.7.a.5. E-mail Capability

Inbound and outbound e-mail capability is utilized to send, receive, and track e-mails from stakeholders. E-mail capability includes, but is not limited to, e-mail responses (EMRs) from the USAC website. All e-mail communications with stakeholders, the internal e-mail communications regarding SLP operations, and e-mail communications between the SLP operations team and USAC, must be sent to and from the sl.universalservice.org or other-USAC approved domain. These communications are considered program records subject to USAC's document retention guidelines and must be segregated from the e-mail communications that are unrelated to SLP operations.

A.2.C.7.a.6. E-mail Response

Responses to e-mail inquiries from stakeholders use a web-based interface.

A.2.C.7.a.7. Responses to Inquiries

An auto-reply function to all inbound e-mails is provided as notification of receipt of the e-mail that includes the case number assigned by the Customer Relationship Management System (CRMS). Responses are sent via e-mail to e-mail inquiries received over the USAC website. All

inquiries are logged into CRMS using a ticket or case number to identify them for future reference.

The CSRs and any automated responses use scripts whenever they are appropriate. A CSR responds to inbound e-mail requests from applicants with requests that cannot be satisfied through website self-help or the IVR. Although CSR scripts are in place to answer basic inquiries regarding invoices, more detailed invoicing inquiries must be transferred to the invoicing team.

A.2.C.7.a.8. *Status Inquiries*

Status of the review of all forms, transactions (e.g. service substitutions, service provider changes), and decisions (e.g. appeals) are provided by the CSR upon request by stakeholders. Issues that cannot be answered by a CSR are escalated to the designated subject matter expert and tracked. Consolidated tracking reports are maintained and are provided on all escalations.

A.2.C.7.a.9. *Personal Identification Numbers (PINs)*

CSRs assign and issue PINs to stakeholders for electronic certifications of all online applicant forms. PINs are issued to applicants who do not already have a PIN. The PIN system determines who should receive a new PIN and what type of PIN they should receive. Letters are issued weekly for new PINs. CSRs reset and issue (regenerate) a new PIN based on an authorized request in the Customer Contact Center or via the USAC website. CSRs also cancel a PIN based on an authorized request in the Customer Contact Center or via the website.

A.2.C.7.a.10. *Whistleblower Hotline*

A whistleblower hotline is provided that allows stakeholders to report instances of alleged waste, fraud, and abuse; misapplication of funds; or potential program rule violations. A live hotline team member is be available to answer the hotline between 8 a.m. and 8 p.m. Eastern Time. The hotline is staffed by team members with appropriate training for receiving and documenting such calls. Such reports and related correspondence are entered into CRMS. Hotline calls and related records are handled in a secure manner.

A.2.C.7.b. **Provision of Program Materials**

All FCC forms used in the program as well as informational materials related to the SLP are available on the USAC website. In some cases, applicants may request forms and other materials be sent to them via e-mail and regular mail. Forms and program descriptions are sent in response to any request received consistent with applicable procedures.

A.2.C.7.c. **Customer Service and Customer Tracking Tools**

A.2.C.7.c.1. *CRMS*

All inbound and outbound communications (calls, mail, e-mails and faxes) received by the Call Center are documented in the CRMS and all documents received are scanned into CRMS.

A.2.C.7.c.2. *Consultant Registration Numbers*

Consultants hired by applicants to file applications and/or act on behalf of the applicant are required to have a USAC consultant registration number. The consultant registration number is issued to the consultant's company. Consultants are able to obtain a registration number by contacting the SLP Client Service Bureau.

A.2.C.7.c.3. *Entity Data Contained in CRMS*

Upon an applicant's request, an entity number is created or updated in CRMS from the required information provided by the entity. (Note that this system is also used to validate entities and retain discount data.) The applicable procedures are followed for this process and must first determine whether an entity number has already been created for the organization/site.

A.2.C.7.c.4. *Ad Hoc Outreach*

Selected stakeholders are contacted to convey information by manual telephone calling and by letters (for example End of Year Letters and other special letters), blast fax and blast e-mails. All such outreach will be documented, processed, and tracked consistent with applicable procedures.

A.2.C.7.d. **Batch Letter Printing and Mailing**

Large capacity printing and fulfillment services are provided in support of the regularly scheduled PIN Mailers, Acknowledgment, Notification and Decision Letters. Printing and mailing of letters to applicant and service provider is done on the scheduled mail date indicated for each letter as determined by USAC. Upon request from the applicant or service provider, letters are reissued based on agreed-upon turn-around times. Written confirmation is provided that each file has been successfully transmitted and mailed. A dummy recipient and address at USAC is sent a letter at given frequencies to confirm successful mailing. A sample letter is also sent for some manually generated letters.

Some notifications are provided to service providers via e-mail consistent with applicable procedures. The text file is retained.

The letter may be composed of basic letter text, applicable standardized comments, and applicable data from SLP databases.

A.2.C.7.e. **Service Provider Electronic Notification**

E-mail requests from service providers for Service Provider Electronic Notifications are received and processed. This service allows service providers to receive electronic notifications of certain data that are usually sent in paper letter format. The service provider e-mail address and preference for notifications are entered as "electronic," "paper," or "both," based on the request using an MS Access® system/front end and an e-mail confirmation is sent to the service provider including instructions and file formats.

A.2.C.8. **Document Production**

Documentation is compiled to assist in appeals to USAC and the FCC, site visits, audits, COMAD/RIDF referrals to the FCC, Freedom of Information Act requests, and other requests.

The required documentation is compiled from SLP material and systems, and beneficiary audit documents, and Ombudsman documentation.

A.2.C.9.   Conduct Audit Response

USAC's administration of the SLPs, as well as beneficiary and service provider participation in the programs, is subject to numerous audits and reviews, including but not limited to, the following:

- Annual USAC Financial Audit.

- Annual Agreed-Upon-Procedures (AUP) Audit required by 47 C.F.R. § 54.717.

- Annual Audit of the FCC's Financial Statement.

- Beneficiary Audits.

- Audits by the USAC Internal Audit Division (including but limited to Payment Quality Assurance).

- Annual review of internal controls (either internal or external review).

- Audit of internal controls.

- Other Ad Hoc Audits such as audits by the Government Accountability Office (GAO).

When an audit finding is identified, the explanation and the resolution for the finding must be developed, reviewed, approved, and managed by the response due date. If resolution for the funding results is a COMAD and/or RIDF, such an action must be initiated and tracked to the audit finding.

A.3.   SLP Current Systems

There are a number of systems used to support the SLP. The system maintenance and support functions for the current systems are not in scope for this RFP. In some cases, business processes and transactions have not been fully automated and MS Excel® spreadsheets and MS Access® databases are used for record keeping and reporting. A full listing of systems, databases, and spreadsheets are listed in Attachment 6.

The SLP production systems are physically located in a data center in Ashburn, VA. Connectivity is provided to USAC and two locations of the SLP operations vendor. Figure 1 in Attachment 6 represents this connectivity. The connection is a Virtual Private Network (VPN) connection to the local area network. Secure file transfer protocol (sFTP) capability is provided to allow for secure file transfers between locations. The SLP operations vendor provides their own personal computers, an internal network, and desktop software to access the SLP systems.

The SLP uses several major systems to manage documentation and process applications, invoices, and appeals. The table below lists the main systems and Attachment 6 provides a further description of the SLP systems, databases, and spreadsheets. Also, a system integration diagram is provided in Figure 2 in Attachment 6.

Table 2 - Current Main Systems

System Name	Use	Software/Database
Simplified Tracking and Reporting System (STARS).	Records and tracks the processing of FCC Form 471 applications and notes supporting decisions.	Custom developed system with a web-based front-end and Oracle® database.
Invoice Simplified Tracking and Reporting System (ISTARS).	Records and tracks the processing of FCC Forms 472 and FCC Forms 474 and notes supporting decisions.	Custom developed system with a web-based front-end and Oracle® database.
Appeals Simplified Tracking and Reporting System (ASTARS).	Records and tracks the processing of an appeal and notes supporting appeal decisions.	Custom developed system with a web-based front-end and Oracle® database.
Siebel CRM System® (CRMS).	Manages the customer database, manages workflow for some processes, records notes of all conversations, and retains and retrieves electronic copies of documents.	COTS software customized to support the SLP.
Crystal Reports.	Manages the customer reporting needs for SLP.	COTS software customized to support the SLP.
Web Applications.	Multiple applications are used for online form entry, data entry of paper forms, online web tools, and some small review processes such as the 486 review system.	Custom developed ASP and .NET applications.

A.4.   SLP IT Modernization

Over the past 15 years, information technology has pervaded the business activity at USAC SLP. The systems currently supporting its business were designed and architected based on technology available more than ten years ago. As the requirements of the business continue to grow, USAC realized that the current systems have reached the end of its lifecycle. To continue the initial success of the program, USAC is seeking solutions to modernize its IT system(s) to improve

operational efficiencies and to enhance the customer experience. The solution shall allow USAC to respond to FCC rules, customer needs and business changes more quickly.

USAC plans to start fresh with a new funding year going forward in the SLITM solution. USAC will provide interfaces for the solution to access USAC's Master Data. Refer to Section A.4.B.1.c for more details.[6] Transaction level details will remain in the legacy systems and legacy transaction data migration is not in the scope of services for this Contract. The legacy systems will continue to run in parallel for processing of transactions from prior-funding years for an undetermined period of time. Decommissioning of the legacy systems and the data migration strategy will be determined by USAC after the deployment of the new solution and is out-of-scope of this Contract.

USAC is exploring different options to improve its existing operational processes and is encouraging creative out-of-the-box solutions. Section A.4.A describes USAC's vision of the characteristics of the future business processes and IT solution. Principles and fundamental concepts are described in this section.

A brief description of the current USAC IT environment is provided. Section A.4.B describes the foundation of architectural elements that are currently utilized by USAC and a description of how the SLITM solution is required to fit into USAC IT. The USAC targeted application and data environment information architecture framework is presented for consideration for the envisioned solution for the SLP.

To ensure that the Contractor's solution will fit with the USAC IT roadmap and its direction for future development, the solution must comply with the technical requirements, parameters and metrics set forth in sections A.4.C.

Due to the scope and complexity of the overall SLITM project, implementation will occur in phases to align to the funding cycle of USAC SLP business operations. The SLITM Phases and Implementation Timeframes in Table 3 below provide a summary of the phases and implementation timeframes.

Table 3 - SLITM Phases and Implementation Timeframes

SLITM Phase	Phase Description	Implementation Time Frames
Phase I	• Develop requirements, design, acquire software and hardware, and implement solution to replace existing SLP business processes from application in-take through	• Requirements development, software design, software and hardware acquisition, and implementation no later than TBD. Software functionality deployed

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[6] Section references are to the sections within this document, unless otherwise specified.

	invoicing, corresponding applicant and service provider processes, request changes and customer service.	throughout the phase to meet the business events specified in this document and Attachment 1 – Key Timeline Due Dates.
	• Software O&M for deployed software with transition to USAC.	• O&M transition to USAC within three months after acceptance of phase.
Phase II	• Develop requirements, design and implement the remainder of SLP business processes into the SLP solution environment. • Software O&M for deployed software with transition to USAC.	• Requirements development, software design and implementation no later than TBD. Software functionality deployed throughout the phase to meet the business events specified in this document and Attachment 1 – Key Timeline Due Dates. • O&M transition to USAC within three months after acceptance of phase.

Note: *All dates in this table are subject to change based on timing of contract award.

A.4.A.   To-be Business Processes

To encourage creative ideas and to obtain the maximum potential for an out-of-box innovative solution(s), the Contractor shall utilize its experience and expertise and apply the best practices of the industry to re-engineer the current processes and procedures for future operations while remaining compliant with the FCC rules and regulations and while maintaining confidentiality, integrity and availability.

Extensive knowledge sharing opportunities will be available. In addition to the information provided in the RFP, detailed current "As-Is" business processes, procedures and workflow documents will be available on site at USAC for review. Multi-day formal sessions will be conducted by USAC staff to review the day-to-day operation in detail. The intent of these knowledge sharing activities is to provide an in-depth understanding of the SLP's business.

Contractor shall conduct business process re-engineering of the current SLP's business operation, identify opportunities for improvement and define a solution for automation. Contractor's solution shall include the re-engineered processes and procedures and shall be defined utilizing modern technologies available in the market. The goal is not only to resolve the current business challenges, but also take the opportunity to dramatically improve the business,

gain operational efficiency, and implement the ability to respond to changes quickly for the next ten to twenty years.

The three major principles to leverage technology, keep it simple, and make it easy to use are USAC's vision of the characteristics of the SLITM solution. They are keys to success and must drive the development and implementation of the solution.

A.4.A.1.   Leverage Technology

USAC intends to replace the current E-rate Program operations system through the deployment of the SLITM solution and is looking to take advantage of modern technology to automate operations and thereby gain maximum operational efficiencies. The SLITM solution will provide maximum automation of tasks while maintaining program integrity. These tasks may include mobile applications, workflow, paperless notification, alerts for changes in application status, alerts for upcoming events, and reminders for actions needed by participants.

USAC supports paper and electronic applications and other program required documentation as well as the issuance of its decisions letters by mail or by fax. Even though USAC may need to continue paper-based submissions and issuances of program materials, the goal is to reduce paper usage whenever possible through the use of e-mail or other electronic notification, content management, and imaging technologies.

Following are improvements the offerors shall address:

- Initiatives to re-engineer processes and enhance existing capability.
- Changes that improve USAC's past functionality.
- Use innovation to reengineer business procedures for applications process, invoice review and user acknowledgement.
- Change from a legacy system to a reengineered, modern and innovated solution.
- Using current and future technology to address business needs.
- Replace the existing legacy systems with forward-leaning technology.

A.4.A.2.   Keep It Simple

The Contractor's SLITM solution should demonstrate simple, intuitive ways to navigate, submit applications, review forms and reference documents, make changes and retrieve data. It should contain user-friendly features that enhance communication between USAC and E-rate Program stakeholders. It will provide a simple solution that does not overwhelm the end users. Simply put, the SLITM solution should make information easily accessible, and clearly show the users what it takes to complete each step in the process successfully.

USAC envisions that the solution will:

1. The "apply for funding" process would include easy-to-read instructions for external users and demonstrate an easy look and feel.
2. Allow users to enter the required data once in the application process.
3. Allow for importing and exporting data through various types of formats.

4. Allow for the uploading of supporting documents for external users.
5. Minimize manual reviews and validations, and use prior year application information whenever possible to verify compliance.
6. Provide a simplified method to write, store, modify, and access reviewers' notes and other reference documentation used for application reviews for internal users.
7. Reduce the level of effort required for communication between the reviewers and the applicants and/or service providers (e.g., when reviewers are requesting additional reference documents during reviews).
8. Enable information relationship management to reduce duplicate requests.
9. Simplify the document request process through electronic notification and alerts.
10. Set up calendar items and online reminders for applicants and service (e.g., general program due dates and reminders as well as applicant specific reminders).
11. Simplify the mechanisms for requesting data and displaying application status, disbursements, reviewing status, historical data in real time through various types of formats for external and internal users (e.g., Microsoft® Excel and flat file).
12. Provide a simplified mechanism for data storage to prevent redundancy.

A.4.A.3.   Make It Easy to Use

Maximum usability makes the system solution more intuitive to the end user. This concept would be at the core of the solution design. The SLITM solution will support all types of users, including applicants, service providers, E-rate Program management, customer service, USAC Finance, and other USAC divisions. The solution will consider these five characteristics of ease of use: effectiveness, efficiency, engaging, error-free, and ease of learning.

A.4.A.3.a.   Effectiveness

Effectiveness is the completeness and accuracy with which the various stakeholders achieve their specified goals. Effectiveness is intended to insure that stakeholders can successfully meet their goals and that their work is done correctly to the fullest extent possible. Some features that could be considered for the SLITM solution to enhance effectiveness are:

1. Automate tasks – whenever and wherever possible – such as auto-assignment and auto-application review based on user-configured program rules and FCC regulations.
2. Include comprehensive and user-friendly reporting features, e.g., dashboard, providing real-time visibility of status and state of applicants, application status, decisions, funds availability, and performance measurement for internal and external users – which includes applicants, service providers, E-rate program management and other USAC divisions.
3. Provide service and invoice deadline approvals automatically based on pre-set rules.
4. Provide an interface to the USAC financial system – committing the correct funding amount, committing to the right applicant, making commitments correctly.
5. Support the recording of E-rate Program financial management at the transaction level; and improve the interface with USAC financial management system to make fund commitments, capture line items, perform three-way matching, and payment by individual invoice line items.
6. Build user assistance for the applicants into the user interface.

7. Provide terminology in plain language that is appropriate to the task.
8. Offer redundant navigation for ambiguous situations to allow external users to reach the correct outcome.
9. Enhance the customer experience by providing feedback and responses in real time.
10. Maximize security and access control; sign in once and access to all systems in the solution with pre-setup user roles and permissions; time out function when no activity happens for a pre-set amount of time.
11. Present clear error messages and feedback and keep visual intrusions to a minimum for mandatory fields and required data entries.
12. Provide the ability for users to save work and return to it at a later time.
13. Provide a repository for applicants and service providers to catalog, store and retrieve their submissions, supporting documentation and USAC administrator decisions.
14. Provide user-defined reporting in a simple manner.

A.4.A.3.b.   Efficiency

Efficiency is the speed (with accuracy) and total resources expended for the stakeholders to complete their tasks using the SLITM solution. The features listed below could be included in the SLITM solution to enhance efficiency:

1. Enhance the customer experience by self-servicing through user portals, real-time response to inquiries and enhanced search capability.
2. Offer self-managed user accounts and password reset.
3. Allow online submission of applications and upload of supporting documents.
4. Allow imaging of all paper documents from external sources.
5. Allow for notifications of paper documents – receipt acknowledgement and business rule-based delivery to appropriate internal staff.
6. Provide a repository for document retention of all reference documents.
7. Trigger letters/phone calls automatically based on the preferred mode of contact.
8. Provide reporting available "anytime," "anywhere" by "any" device, with Internet connection across platforms to "anyone" who participates in the program; and allow to the extent possible stakeholders to perform business intelligent analysis without compromising confidential information, security or integrity.
9. Maximize system scalability to handle both peak and off-peak seasons during the annual program lifecycle.
10. Optimize the solution for smart phone and mobile use.
11. Maximize flexibility of user functions by allowing configurable and user-defined parameters that are configurable when changes to program rules, contents of letters, notifications and alerts occur.
12. Define the tasks from the applicants' point of view.
13. Allow for keyboard, mouse, touch screen and other advanced data input methods and provide keyboard shortcuts for proficient users and a set of choices for one-time or infrequent users.
14. Provide maximum system performance with reasonable response time when interacting with the solution.
15. Accept documents through various input methods including but not limited to: portal, e-mail, fax and postal mails.

A.4.A.3.c.   **Engaging**

The SLITM solution should engage the users. Features that could be included in the SLITM solution include:

1. An engaging style of visual presentation: graphic images, colors, multimedia.
2. An enhanced users' experience with a well-designed, informative and readable text.
3. A user-centered design with easy navigation that includes, for example, keyboard shortcuts, menus, links and buttons with clear instructions.
4. A simple menu-command style of system interaction.
5. Ability to move easily between disparate activities with quick return to point last used.

A.4.A.3.d.   **Error-Free**

USAC's ultimate goal is to have a highly-reliable, scalable, durable system solution. Error detection prevents errors caused by the user's interaction with the solution and helps the users in recovering from any errors that do occur. The SLITM solution could include the following features to address effective error detection:

1. Maximized system reliability to ensure data integrity and accuracy.
2. Auto spelling correction for messages, labels and data entry.
3. Easy modifications to keep online information and instructions up-to-date.
4. Hyperlinks that are clear to the users and that work as they should.
5. A simple method for populating and correcting data.
6. Prevention of incorrect actions. Provide a clear description of the problem when errors occur. Include direct link(s) to correct the problem, use clear language, avoid technical jargon, and group dependent fields or choices together.
7. Prohibit or limit users' ability to take invalid actions. Limit choices when possible; provide clear examples for data entry; present only appropriate navigation options.
8. Prohibit or limit users' ability to take irreversible actions. Provide the ability to back track, provide means to undo or reverse actions, and avoid dead-end screens.
9. Plan for the unexpected and handle exceptions properly.
10. Log actions to enable trouble-shooting by customer representatives and support personnel.

A.4.A.3.e.   **Ease of Learning**

USAC realizes the growing use of IT promises an increase in end-user productivity. Despite how well a solution is designed, questions arise. Online help, training and reference materials would be made available and would be easy to understand and follow so the users can learn the solution at their own pace.

As the end-user productivity is tied directly to functionality and ease of learning and use, the system functions would fit actual work at USAC and the solution would be easy to learn and use to ensure the solution can be quickly adopted by USAC internal and external users. The user interface should allow users to build on their knowledge without deliberate effort.

The following characteristics are sought in the SLITM solution:

1. Include built-in online instruction for difficult or advanced tasks and clear instructions on how the solution works, and include an online chat feature.
2. Provide easy to understand user manuals and online assistance with pictures and diagrams to help the end user quickly become familiar with the solution and able to use the solution with confidence to complete necessary work.
3. Provide for the use of frequently asked questions with indexing to assist in easy detection of issues and their resolution.
4. Provide access to training materials, connect to domain knowledge base, and link to reference documents when needed.
5. Allow easy operation by office professional and non-frequent users.
6. Allow users to build on their prior knowledge of computer systems, as well as any interaction patterns they have learned from the solution.
7. Follow the commonly accepted user interface design in the market place and ensure an information flow that is logical and smooth on the user interface.
8. Provide a consistent interface; ensure that terminology does not change; place design elements and controls in familiar locations and have similar functions behave similarly.
9. Place user interface controls where users expect them to be.
10. Make any future development/releases as seamless as possible to the end users with minimal disruption to USAC business operations.
11. Make new functions easy to learn by providing controls predictable to the users.
12. Allow creation of self-maintained user profiles with customizable screen layout based on users' preference and selections.

A.4.B.   Architecture

This section describes the foundational architectural tools that are currently being utilized by USAC and description of how the SLITM solution is required to fit into the USAC IT environment. In addition, this section contains certain architectural tools that are mandatory for use by the Contractor in order for any proposed solution to be operational. Although USAC is not mandating any particular architectural solution, the Contractor's architecture solution must interface with key elements of USAC's IT environment, use instances of certain USAC IT tools, and be based on high-quality software system principles and practices.

USAC has foundational IT elements that are designed to support all of USAC's customer-facing business units and internal departments. The foundational elements of USAC's IT environment are listed in Table 4 and USAC's Enterprise Toolbox Diagram can be found in Attachment 7.

Note that USAC uses both the JavaEE® and .NET® application frameworks for custom applications. Either one or the other application framework is the main framework for each of USAC's business units. Either of these two application frameworks may be used for the SLITM solution.

Tools that USAC prefers the Contractor use are also designated in Table 4. The architectural tools of USAC's current IT environment should be strongly considered in order for proposed solutions to facilitate integration and minimize the impact on USAC's total cost of ownership. Contractor's solution shall not conflict with USAC's other administrative or program systems or

established IT standards. USAC will be providing the licenses for all of the preferred tools.
(Contractor is responsible for the cost of additional licenses.)

Table 4 - IT Environment

FUNCTION	USAC TOOL(S)	PREFERRED
System Architecture and Design		
Enterprise Architecture Framework	TOGAF™	
Enterprise Architecture Tool (TOGAF, Archimate, BPMN, UML)	Sparx®	
Enterprise Architecture Language: Business, Application, Data, Technology layers	Archimate™	Yes
Business Process Design	BPMN 2.0™	Yes
Database Design Tools	ERwin®, Sparx®	
Database Design Language	ERD, UML™	Yes
.NET Application Development and Lifecycle Management		
Application Framework	.NET™	Yes
Languages	C#™	Yes
IDE	Microsoft® Visual Studio; Microsoft® TFS; SharePoint Designer	Yes
Backlog Management	Microsoft® SharePoint	
System Documentation	Microsoft® SharePoint	Yes
Source Control	Microsoft® TFS	Yes
Testing	Microsoft® TFS	Yes
Continuous Integration	Microsoft® TFS	Yes
Java Application Development and Lifecycle Management		
Application Framework	JavaEE®	Yes
IDE	JBOSS® Development Studio; Eclipse®	Yes
Backlog Management	Jira	Yes
System Documentation	Atlassian® Confluence with Microsoft® SharePoint	Yes
Code reviews	Atlassian® FishEye+Crucible	Yes
Source Control	Subversion®	Yes
Testing	Cucumber, QTP, Watir	Yes
Continuous Integration	Atlassian® Bamboo Cucumber+Watir	Yes
Content Management		
Enterprise Content Management.	Microsoft® SharePoint	Yes
Records Management.	Documentum®	Yes

Data Management		
Relational Database Management System (RDBMS)	Oracle® 11g RDBMS; Microsoft® SQL Server	Yes
Extract, Transform, & Load (ETL); Data warehouse, Data mart.	Microsoft® SQL Server; Microsoft® SQL Server Integration Services; Microsoft® SQL Server Analysis Services; Microsoft® SharePoint Business Connectivity Services	Yes
Master Data Management	Microsoft® Master Data Services	Yes
Query and Reports Management		
Query and Reports Management.	Microsoft® SQL Server Reporting Services	Yes
System Software and Infrastructure Components		
External Authentication and Authorization	(To Be Supplied)	Yes
Data and Application Integration	BizTalk® Enterprise Service Bus; SOAP/REST Web Services; Universal Description Discovery and Integration (UDDI)	Yes
E-mail/PIM.	Microsoft® Exchange	Yes
Networking	CISCO®	Yes
Backup.	NetBackup™	Yes
Remote Access.	Citrix®	Yes
Server Virtualization	VMware ESX ®Server;	Yes
Server Software	Windows Server; Red Hat® Linux®; JBOSS Application Server; Apache® Server	Yes
Disaster Recovery	EMC® RecoverPoint; VMWare® Site Recovery	Yes
Data Center Management	Orion®; HP® iLO; VMWare® vCenter	Yes
Hardware		
Servers.	HP® DL Servers	Yes
Storage Area Network (SAN).	EMC VNX®	Yes

A.4.B.1. Key Integration Elements

The following key integration elements must be considered in Contractor's SLITM solution.

A.4.B.1.a.   **Authentication and Authorization**

USAC will provide the authentication and authorization methodologies, APIs, and tools in order for the SLITM solution to operate within the USAC environment.

The identification of USAC's authentication tools and APIs will be provided to the Contractor upon Contract award. USAC security tools for application, data, documents, and web services authentication and authorization are based on identity and roles. Internet, Extranet, and Intranet authentication is performed with these tools. These tools must be used for these functions.

A.4.B.1.b.   **Query and Reporting**

USAC uses Microsoft SQL Server Reporting Services tools for its query and report management functions. These tools are integrated with Microsoft SharePoint for usability. Contractor's solution should leverage these tools for query and report functions so that these reports may be integrated with USAC's other enterprise reports.

A.4.B.1.c.   **Application/Data Integration**

USAC's data is classified into several categories with Master Data referring to data describing the core USAC business entities such as applicants, service providers, and consultants. This Master Data is managed by USAC data stewards who define the standards, policies, procedures, and operating attributes for this data. Any data deemed as Master Data by USAC is contained within USAC's Master Data. The Master Data is used for business unit operational systems, financial reporting, auditing, and data warehouse applications. The SLITM solution can access the Master Data, or if needed to meet performance goals copy it, and optimize it for use in their environment.

USAC's Master Data is centrally controlled and shall be accessed by the proposed system via standard document-style web services. Master Data web services definition, development, control, and implementation are performed by the USAC IT team. The supplied web services provide the required authentication mechanisms for database access. The available web services are contained in the web services directory (UDDI) provided by the USAC.

The Contractor's solution shall access the Master Data to update/retrieve relevant information. For example, data regarding participants and status/attribute(s) associated with them. This shall be accomplished by using web services methodology provided by USAC.

USAC uses SOAP and REST web services for data and application integration. The SLITM solution must use designated USAC web services to access USAC's Master Data. In addition to standard data access web services, the SLITM solution may be required to leverage USAC's Enterprise Service Bus (BizTalk) for publish/subscribe type web services.

USAC will provide basic web services to access the required Master Data and will also work with the Contractor to develop additional required web services related to Master Data for the SLITM solution.

The SLITM solution shall interface with USAC's USF Financial System for the exchange of information related to payments for beneficiaries, new obligations, upward and downward adjustments to previous obligations, appeals and returned funds. This interface will be accomplished through the use of USAC's web services framework.

The application and data integration functions within Contractor's SLITM solution should leverage USAC's web services, Enterprise Service Bus, and UDDI framework. Contractor must develop its own web services for integration into this framework.

Figure 1 - Master Data Access
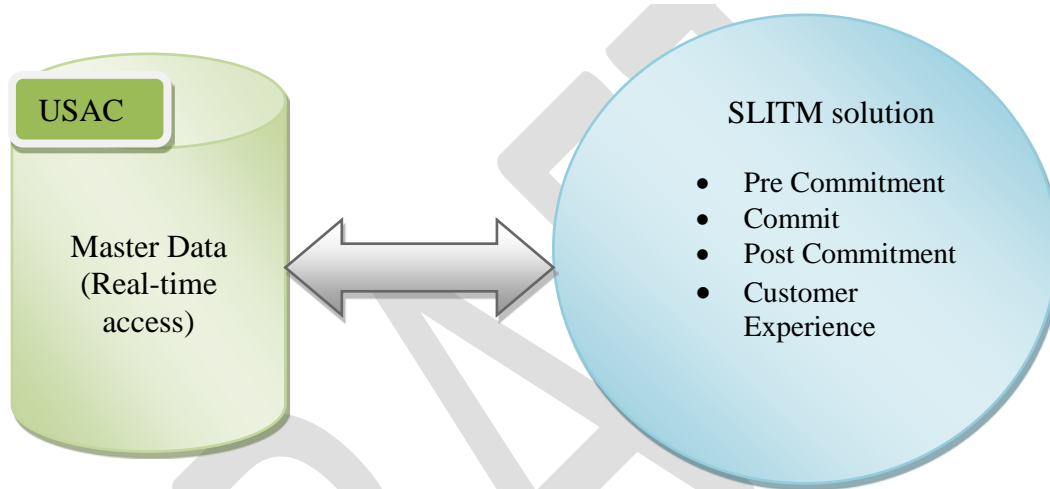
A.4.B.1.d.   Data Warehouse

The USAC data warehouse tools and process shall be used for any data warehouse functionality required. Contractor's solution should use USAC reporting tools to deliver data extract, transform, and load (ETL) specifications, data mart specifications, and the required reports. The reports shall be integrated by USAC within the USAC reporting environment.

USAC uses the Microsoft® stack of tools for its data warehouse and data mart functions. Specifically, it uses the following: Microsoft® SQL Server, Microsoft® SQL Server Integration Services, Microsoft® SQL Server Analysis Services, and Microsoft® SharePoint Business Connectivity Services. Contractor's data warehouse and data mart may be developed with these tools.

A.4.B.1.e.   Content Management Tools

Contractor's SLITM solution should leverage the USAC Content Management tools for enterprise content management and records management functions.

A.4.B.1.f. **Backup and Disaster Recovery**

USAC uses technologies from two main vendors to accomplish its disaster recovery requirements. EMC's RecoverPoint® technology handles the virtual machine data replication between production and disaster recovery sites. RecoverPoint® is a data protection appliance which allows data to be replicated between two EMC Clariion SAN® platforms. USAC uses VMware®'s Site Recovery Manager to manage and automate the failover and recovery process of the replicated virtual machines. Key objectives and attributes of USAC's Disaster Recovery system are listed below:

- The recovery time objective is 8 hours and the recovery point objective is zero (0) hours.
- Currently the distance between the sites is ½ mile.
- Current Disaster Recovery is based on a warm site scenario. The hardware is always running (hot). During a Disaster Recovery event, the VMware® Site Recovery Manager plan is executed in order to recover the virtual servers.
- The current network bandwidth between the disaster recovery and primary location is 10 GB/s. Additional vendor agreements are necessary to increase the bandwidth between the Disaster Recovery and primary sites.
- All USAC business-critical systems have accompanying system contingency plans.

USAC uses NetBackup in its Data Center for backups. Backups are performed on a scheduled basis with the storage of backups at sites separate from the USAC data center.

Contractor should leverage USAC's Disaster Recovery and Backup framework by using the preferred hardware, virtualization software, server software, and SAN listed in Table 4. The USAC IT operations staff manages the Backup and Disaster Recovery mechanisms.

A.4.B.2. **USAC Architecture Principles**

Contractor's SLITM solution shall comply with USAC's architecture principles that are listed below:

1. **Adaptability** - The system shall be easily adaptable to business changes. Changes resulting from new or modified regulatory orders or new or modified business rules and processes are made without a significant amount of effort or risk to system cohesiveness or operation.

2. **Usability -** The system shall be easy to use by a diverse user community. Users of USAC systems include public entities (applicants, service providers, state agencies, etc.), internal users (Business Unit staff, Finance, Audit, etc.), and suppliers. Therefore the underlying technology shall be transparent to users, so they can concentrate on tasks at hand.

3. **Interoperability** - Software and hardware must conform to defined standards that promote interoperability for data, applications and technology.

4. **User interfaces** - the technical user interface (U/I) requirements address the way users and operators interact with the SLITM solution. They encompass the ability for users to

configure the software, enter transactions, and query the database as well as starting/stopping internal system processes.

The design of user interfaces must be consistent with USAC's current website, including but not limited to elements of color, page layout scheme, use of fonts, header and paragraph styles, navigational tools, and use of technical terminology related to universal service program operations. Design will be considered final and approved only after it has gone through USAC's established style guide review.

In addition, at a minimum, SLITM solution shall meet the following architectural requirements:

- The system architecture must be scalable and upgradable to stay current with technology standards.
- The hardware should be scalable, but expandable to support changes and growth.
- The architecture software(s) should be flexible and cost effective to modify and maintain.
- The architecture solution should be able to handle high volume operations.
- The COTS (Commercial-Off-the-Shelf) products should require limited customization.
- The architecture solution should be able to seamlessly integrate with USAC's other systems.

A.4.B.3.   SLITM Integration with USAC IT Environment

Contractor's solution shall integrate with existing USAC IT environment as illustrated in Figure 1 - Application and Data Environment. The diagram focuses on the USAC IT services that will be needed to support SLITM solution. In addition, it demonstrates the anticipated responsibilities between the Contractor and USAC. Contractor's solution must provide optimal system architecture to support the business requirements and targeted application and data environment.

Figure 1 - Application and Data Environment
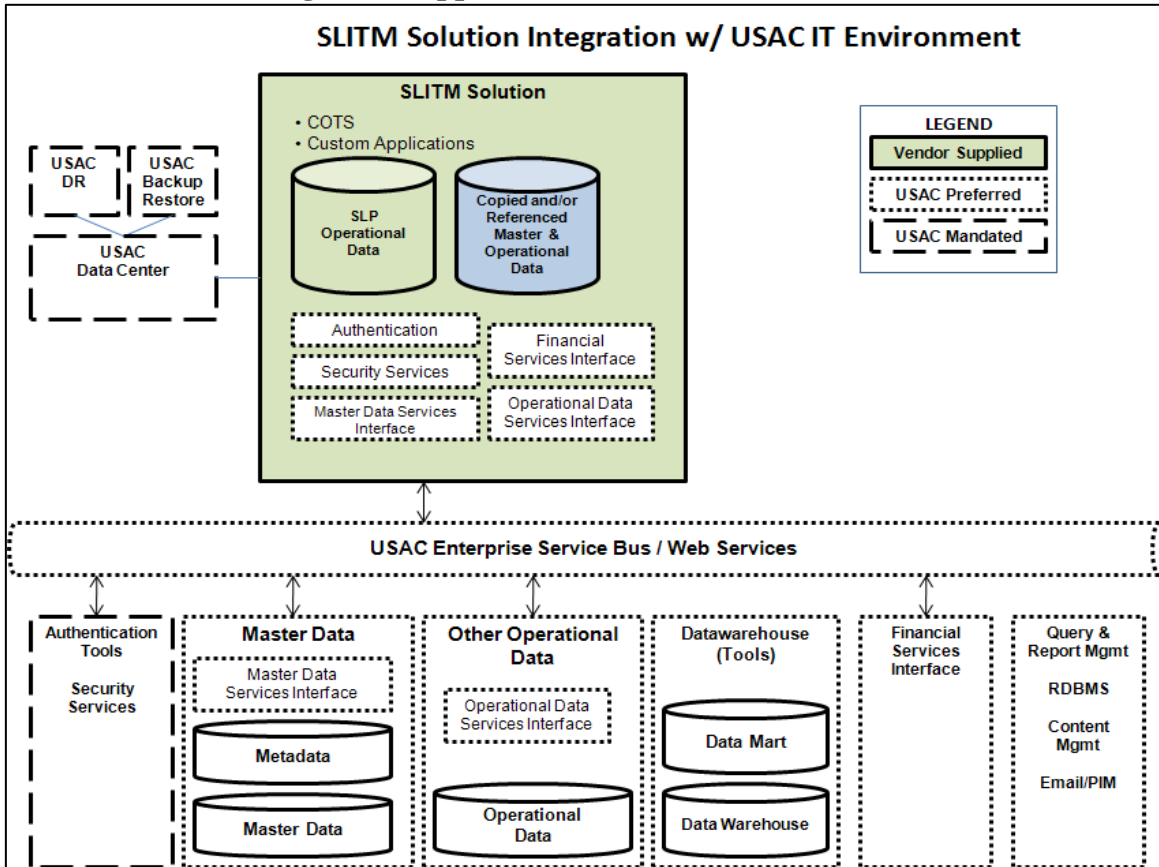
A.4.C. Technical Requirements

This section provides details on technical and security requirements for the Contractor's SLITM solution. The technical requirements are designed to ensure that the business and technical requirements are completely supported and have the capacity to process the required workload. Contractor's solution must be based on business rules, business processes, workflow and data management that will enhance interoperability across service components. The security plan provides details on security-specific requirements.

From a technical perspective, the SLITM solution must:

1. Provide transaction processing integrity and general operating reliability.
2. Use standard procedures for installation, configuration, and operations.
3. Provide seamless integrated workflow processing.
4. Be well documented.
5. Fulfill USAC's security requirements.
6. Ensure the architecture requirements described in section A.4.B are attained.

USAC is seeking to take advantage of well-proven, commercial-off-the-shelf (COTS) products requiring limited customization. It is critical that Contractor's solution satisfies all technical and security requirements detailed in this section.

A.4.C.1. Solution Performance Requirements

This section describes the required service levels of the SLITM solution. Various service level and performance criteria's shall be considered, including but not limited to: the solution's uptime capability, scalability, and usability. Solution capacity shall be sufficient to allow all batch processes to complete during off peak hours to minimize the impact on live transaction processing. The performance requirements also describe required support for transaction volume and performance response times.

A.4.C.1.a. Transaction

A.4.C.1.a.1. Transaction Volume

Currently the SLP has approximately 100,000 school and library participants. These applicants are served by approximately 4,200 service providers. The system currently processes approximately 20,000 transactions per day during peak cycles. The complexity of the program continues to increase however; the volume of applications seems to be stable every year.

Transaction volume requirements are defined as the extent to which the SLITM solution transmits and processes an item of data, by achieving sufficient processing speed. Contractor's solution must have a transaction volume capability such that it is able to handle concurrent transactions.

A.4.C.1.a.2. Transaction History

Contractor's SLITM solution must maintain an ongoing transaction history that can be utilized to track and investigate database activity, to recreate transaction activity for a given point in time, and to support auditing requirements as determined. The transaction history capacity must at minimum include:

1. Date and time stamp the solution was accessed.
2. The originator.
3. The nature of all transaction activity.
4. The IP address accessing the solution.
5. The account accessing the solution.
6. Information regarding any failed login attempts.

Contractor's SLITM solution must have a transaction history capability such that 100% of all database activities are active, saved, or archived and that 100% of that data is subject to the full reporting capability.

A.4.C.1.b.   **Scalability**

The scalability requirements determine the degree to which the SLITM solution can support the anticipated number of users without degradation in performance. In addition, the SLITM solution shall accommodate the number of transactions without straining the processing time. At minimum the SLITM solution is required to:

1. Scale in terms of throughput and response time.
2. As the transaction load increases; the throughput shall remain the same.
3. Handle the volume of concurrent users accessing the SLITM solution.

Contractor's solution must be designed and implemented for meeting the scalability requirements.

A.4.C.1.c.   **Accuracy and Validity**

The SLITM accuracy requirements determine the extent to which the solution correctly produces the desired results, while the validity requirements determine whether the results are relevant and meaningful. The SLITM solution shall be designed to receive confirmation of the accuracy and validity of the completion of transactions. If a transaction does not complete successfully, an error message shall be issued to notify the end-user and registered in an error log. The database updates shall be committed to the database only if all processes have successfully completed.

Contractor's solution must comply with all accuracy and validity requirements.

A.4.C.1.d.   **Solution Response Time**

Many components such as network capacity, database server size and configuration will contribute to the overall solution response time. The transaction response times shown in the table below should be viewed as service level targets for solution use over the standard USAC network and not as specific evaluation criteria.

Table 5 - Transaction Response Times

Requirement	Timing	Plus/Minus
Launch SLITM solution from an open browser	5 sec.	1 sec.
Transaction inquiry to retrieve a processed transaction	6 sec.	1 sec.
Transaction update	10 sec.	1 sec.

Contractor's solution must have a response timing capability that achieves the service level targets illustrated in Table 5 - Transaction Response Times.

A.4.C.1.e.   **Usability**

One of the key objectives of the SLITM solution is to enhance customer experience by providing users a seamless solution interaction experience.

Usability requirements determine the extent to which users can achieve their task effectively, efficiently, and error free. Contractor's solution must comply with USAC's usability goals where users should be able to complete their task: without needing any additional time, without any errors, and without any difficulties. In addition, at a minimum the SLITM solution is required to:

1. Be easy to learn.
2. Be easy to remember how to use.
3. Maximize speed of access to key information.
4. Present accurate and complete information.
5. Make the most effective use of the delivery method (i.e. online Help).
6. Direct links to help, reference information, manuals, and documentations.
7. Provide search capability based on any combination of fields.
8. Allow authorized users to download information in a variety of formats such as Microsoft® Excel, Microsoft® Word, Adobe® PDF.
9. Provide easy navigation including:
    • Drop-down menus.
    • Auto population of persistent data.
    • Cut and paste.
    • Hovering.

A.4.C.1.f.   Availability

Solution availability is one of the key success factors of the overall modernization efforts. Contractor's solution must be available to the external stakeholders 24 hours per day, 7 days a week with, 99% availability rate.

A.4.C.2.   Application Environment

In addition to the production environment, Contractor must provide five additional distinct application environments to USAC: User Acceptance Testing (UAT), Training, Quality Assurance Testing (QA), Development, and Disaster Recovery (DR). Contractor must install and configure all hardware and software needed to support all the required environments in USAC's co-location data center facilities.

USAC will provide a standard data center environment equipped with cage and rack space, power, and network connectivity. USAC will also provide the Contractor access to USAC's secure data centers until operations and maintenance (O&M) transition is concluded.

With multiple hosting and staffing locations, the Contractor must provide encrypted and secure connectivity between the different locations using Virtual Private Network (VPN) technology. Encryption shall be in compliance with FIPS 140-2 standards. Secure file transfer protocol (sFTP) capability should be provided to allow for secure file transfers between locations.

The six isolated environments are described below.

A.4.C.2.a.   **Production Environment**

The Production Environment shall be deployed at the start of FY when the filing window opens. Since data migration from legacy system is not included in the project scope, there will not be any historical data available during the initial deployment.

Contractor shall provide full support for all aspects, including but not limited to: database administration, configuration management, and continued responsibilities for documentation and communications until O&M transition to USAC concludes. The Production Environment transition to USAC shall be included in the O&M transition plan.

A.4.C.2.b.   **User Acceptance Test Environment (UAT)**

The UAT Environment shall permit USAC to perform solution testing to ensure the SLITM solution meets all of the Contract business and technical requirements. USAC must be able to imitate production work in the UAT environment.

The UAT Environment transition to USAC shall be included in the O&M transition plan.

A.4.C.2.c.   **Training Environment**

The Training Environment shall provide the functionality necessary to allow USAC to provide hands-on training to all SLP users including, but not limited to applicants, service providers and SLP operation personnel. The Training Environment must support both internal and external users, as this site is used by USAC staff during their annual public applicant and service provider training, as well as by various external stakeholders. This environment shall allow USAC to maintain unique data for use in training and to conduct training without impacting the Production Environment.

The Training Environment transition to USAC shall be included in the O&M transition plan.

A.4.C.2.d.   **Development Environment (DE)**

Once formal solution acceptance has been concluded the Contractor is required to transfer the Development Environment to USAC. The Development Environment transition to USAC shall be included in the O&M transition plan.

A.4.C.2.e.   **Quality Assurance Test Environment (QA)**

The QA Environment is a solution and regression testing environment that is separate and distinct from UAT. Contractor will use the QA environment to perform solution and regression testing. The QA Environment transition to USAC shall be included in the O&M transition plan.

A.4.C.2.f.   **Disaster Recovery (DR)**

Contractor shall provide a solution designed and implemented for disaster recovery that is built on USAC's current disaster recovery scheme. The Disaster Recovery Environment transition shall be included in the O&M transition plan.

A.4.C.3.   **Stages**

The SLITM solution systems integration process shall consist of identifiable stages for both SLITM Phases I and II, as described in further detail in this section. Contractor shall provide the deliverables identified within each stage to USAC for approval. The stages are as follows:

1. Requirements Development.
2. Design and Implementation.
3. Solution Testing.
4. User Acceptance Testing (UAT).
5. Pre-Launch Training.
6. Production and Maintenance.

USAC reserves the right to witness all Contractor efforts to accomplish the services requirements and maintains the right to approve or reject resulting processes and products before subsequent related processes and products are implemented.

A.4.C.3.a.   **Requirements Development**

As described in section A.4, due to the scope and complexity of the overall SLITM project, implementation will occur in phases. The requirements development for Phase I shall be performed and approved before Phase II requirements development can begin.

Contractor will have performed an initial requirements analysis prior to submission of its proposal based on information provided to Contractor during the procurement process. Contractor's proposed SLITM solution is based on this initial requirements analysis.

Following Contract award, Contractor shall perform an in-depth requirements analysis to identify all the functional and non-functional requirements. This should then be transformed into measurable, testable, and traceable requirements. The analysis shall also include generation of interface requirements and performance specifications needed to assure all components, including software, hardware, and user, will work together to meet the overall requirements. At a minimum the requirements development process shall include:

1. Analyzing, and validating SLP needs.
2. Translating SLP's requirements into derived requirements.
3. Allocating requirements to software, hardware, interface and test elements.
4. Verifying the set of requirements.
5. Providing USAC comprehensive and detailed requirement documentation.
6. Designating a document repository for requirements analysis information, so USAC personnel can easily access and store project documents during requirement analysis.
7. Communicating requirements in a clear manner to ensure consistent understanding among stake-holders and to reduce ambiguity.
8. Analyzing requirements to assess potential problems.
9. Prioritization and evaluation of the feasibility of implementation, and alternative solutions.
10. Identifying and documenting constraints.

Contractor shall engage in a two-step requirement analysis activity. The first will be in-depth business process analysis. During this activity, Contractor will work in close collaboration with USAC to get an extensive understanding of the current business processes, and legacy systems and tools being utilized. The second activity will be requirements specifications, where the Contractor will define full sets of requirements. Table 6 - Requirements Development Document provides a summary of the deliverables the Contractor shall submit to USAC as part of this activity.

Table 6 - Requirements Development Document

Components	Description
Requirements Document	A formal statement of the SLITM solution's functional requirements, including, but not limited to: 1. Functional requirements based on business processes. 2. Solution interface requirements. 3. Non-Functional Requirements. The document must capture the full set of business requirements independent of any development approach, methodology, or constraint.
"To-be" Process Model	Decompose major business processes into manageable functions until no further breakdown is feasible including, but not limited to: 1. "To-be" Use Case Diagrams. 2. "To-be" Flow Chart Diagram. 3. "To-be" Work flow Diagram.
Logical Data Model	Identify entities and their relationships and provide an entity relationship diagram.
Requirements Traceability Matrix	Construct a requirements traceability matrix table that will link defined requirements to their roots and trace them throughout the SLITM project life cycle. The table shall include, at minimum: Requirement ID#, Requirement, Category, Priority, and Acceptance Criteria.
Requirements Management Plan	Construct a requirements management plan that will specify how the requirements will be managed throughout SLITM life cycle.
Technical Infrastructure Requirements Specifications	Document solutions capabilities to meet functional and non-functional requirements, including, but not limited to: 1. Technical/operational functions the technical infrastructure must be capable to perform. 2. Characteristics of technical infrastructure to be achieved (i.e.: reliability, availability, and security). 3. Service and facilities requirements and constraints (i.e. power, cooling, and space).
Test Strategy	Document all the anticipated tasks that will be needed to

	ensure the solution will be adequately tested. As illustrated in section A.4.C.4.j.2 a detailed Software Test Plan shall be included in the Software Development Plan.
Fit-Gap Analysis, products-based solution	Identifies in detail the extent to which the products-based solution meets each of the validated requirements and how all gaps will be addressed in the SLITM solution.

USAC will be providing necessary and approved materials to Contractor. If Contractor believes additional materials are required, Contractor may request such materials from USAC who will determine if the materials exist and if Contractor shall be granted access. The Contractor will be obligated to comply with all required confidentiality agreements as dictated for this project.

USAC shall determine if the requirements proposed by Contractor have been defined sufficiently to be translated into a solution. Prior to the project start date, USAC will provide the Contractor the full evaluation criteria. Upon USAC's completion of the requirements review, Contractor will be notified in writing to commence the design and implementation stage. The following are some of the criteria:

1. Requirements have been grouped and adequately detailed.
2. Requirements have been verified and validated.
3. Process and Data Models are defined sufficiently for a SLITM solution design and implementation.
4. The test strategy is defined and outlined.
5. Fit-Gap (products-based) is clearly defined.

A.4.C.3.b.   **Design and Implementation**

Upon USAC's formal acceptance of the requirements development deliverables, the Contractor shall begin the next stage - "Design and Implementation." Contractor shall use the techniques and guidelines outlined in section A.4.C.4.i , to successfully design and implement the SLITM solution. During this stage, Contractor shall provide USAC a prototype that demonstrates the functionalities of the solution.

A.4.C.3.c.   **Solution Testing**

Prior to the commencement of solution testing, Contractor shall submit a Software Test Plan as illustrated in section A.4.C.4.j.2 for USAC's approval.

Contractor shall use well-defined written procedures and standards for software testing and propose automated testing tools for performance and regression testing wherever applicable. The solution test shall also ensure the metrics in terms of processing speed, ability to handle stress efficiently, and the solution response timing requirements as illustrated in section A.4.C.1.d have all been achieved.

At the conclusion of the testing stage, Contractor shall conduct a formal meeting with USAC to review the results of the tests, and come to mutual agreement that the solution is ready to be moved into the next stage of testing – "User Acceptance Testing". During the meeting, the

Contractor shall submit a Final Test report to USAC, which will summarize all the test results and findings.

A.4.C.3.d. User Acceptance Testing (UAT)

USAC will execute UAT to verify that the SLITM solution operates according to the documented requirements. Contractor with the cooperation of USAC shall develop a SLITM UAT Plan that includes testing of all:

1. Hardware.
2. Software.
3. System and network connectivity.
4. Disaster Planning.
5. Performance.
6. Security.
7. Reporting.
8. Scenarios (to test all components and interfaces).
9. All test cases will be captured and incorporated into the SLITM UAT plan.

As part of the systems verification and acceptance process, Contractor will test the new hardware and software infrastructure using the UAT Plan. Once the solution passes the Contractor's testing, the solution will be retested by USAC, also based on the UAT Plan.

It is USAC's expectation that during UAT few, if any, errors will be found. The solution should have already been thoroughly debugged by the Contractor and perform as required by the requirements. Nonetheless, during UAT the Contractor shall address and resolve issue(s) within five (5) business days, with the exception of severity 1 and severity 2 which should be within two (2) business days, unless waived in writing by USAC. Should the Contractor need additional time to resolve any issues, the Contractor must request and receive written approval from USAC. In addition, the Contractor shall provide written biweekly status updates regarding resolution efforts.

UAT will conclude only when USAC determines that there are no issues remaining to be addressed. All software and solutions shall be subject to UAT and Certification and Accreditation (C&A), as illustrated in section A.4.C.6.b , prior to placing into production. Once UAT and C&A are completed, USAC will notify Contractor in writing to commence to the next stage -"Pre-Launch Training."

A.4.C.3.e. Pre-Launch Training

Prior to launching any system function to the Production Environment, the Contractor shall conduct a series of training sessions, as illustrated in further details in section A.4.C.7.d.

A.4.C.3.f. Production and Maintenance

The production stage allows for the day-to-day operations to begin. To ensure a production launch goes smoothly the Contractor shall prepare a SLITM Launch Plan for USAC's approval. The SLITM Launch Plan shall at minimum cover the following:

1. A pre-launch specification which identifies tasks that need to be addressed prior to launch, to ensure everything is prepared.
2. A launch plan which outlines the actual process the launch team will need to go through during the launch window itself.
3. And a post-launch plan which details a variety of activities that need to commence after launch.

As illustrated in section A.4.C.7, the Contractor is required to maintain full responsibility of O&M for each system function that is deployed to the Production Environment prior to the completion of each Phase. In addition, the Contractor shall maintain full responsibility of O&M for three months following USAC's formal acceptance of each Phase (I and II).

A.4.C.4.   Solution Development Methodology

Contractor shall design, and deliver an integrated SLITM solution to USAC. USAC will grant the Contractor remote access to all required and approved tools and data environments. Contractor will be obligated to comply with all USAC required access and security guidelines as dictated for this project.

A.4.C.4.a.   Development Plan

Contractor shall develop and deliver to USAC a comprehensive Software Development Plan (SDP) and Technical Infrastructure Development Plan (TIDP). The SDP shall at a minimum, define the processes, identify and address risks, identify resource requirements and schedules. The TIDP shall at a minimum, define and address all aspects of the technical infrastructure solution designs and architecture, security, and a plan to successfully deploy, operate and maintain SLITM solution environments.

A.4.C.4.b.   Roles and Responsibilities

Contractor shall include in the SDP and TIDP a detailed description of all staff who will be involved in the software and technical infrastructure development efforts. The description should include, individual names, title, roles and responsibilities, number of years of relevant work, and indicate the percentage of dedicated time to the SLITM project.

USAC can choose to include one or more USAC IT personnel within the Contractor's development team. These roles may be full or part time and would be integrated into the Contractor's Project Plan as committed resources funded by USAC. The integration of USAC personnel would provide key learning experience to help facilitate O&M transition.

A.4.C.4.c.   Work Breakdown Structure (WBS)

Contractor shall include a detailed WBS for software and technical infrastructure development in the SDP and TIDP. The WBS should define precise and measureable tasks, milestones, reviews, and deliverables. Contractor must comply with the WBS.

A.4.C.4.d.   Development Schedule Control Plan

Contractor shall describe the approach to be taken to monitor progress against the planned software and technical infrastructure development schedule. Contractor shall include the remedial action to be taken in circumstances where it fails to make progress in accordance with the software and technical infrastructure development schedules. This description shall be included in the SDP and TIDP.

A.4.C.4.e.   Change and Risk Management

As illustrated in section A.4.D., the Contractor shall apply change and risk management procedures respectively. These procedures may be tailored specifically for software and/or technical infrastructure development and if so shall be documented in the SDP and TIDP.

A.4.C.4.f.   Software Quality Control Plan

Contractor shall include a detailed Software Quality Control Plan as part of the SDP document. This plan shall describe how the Contractor's overall software quality program will be applied. The plan should include the schedules, tasked to be performed, and products and tools to be used in the software development course.

Contractor shall include a Technical Infrastructure Quality Control Plan that provides detail processes to assure quality in all the technical infrastructure activities involved in supporting the SLITM environments.

A.4.C.4.g.   Configuration and Document Management

A.4.C.4.g.1.   Configuration Management and Control

Contractor shall plan, implement, and maintain a comprehensive configuration management program. The configuration management process shall include developing, implementing and maintaining a Hardware and Software Configuration Management Plan to define and describe methods and procedures to be used to manage configuration items and their interfaces and promote usability.

Contractor shall capture and document in the SDP and the TIDP the configuration management process that is applicable to support the software and technical infrastructure development efforts.

A.4.C.4.g.2.   Document Management

Contractor shall maintain data management for all materials associated with SLITM project. This includes, but is not limited to: collecting, logging, and storing information in the areas of project process control, project status, and presentation data. Contractor shall document the management of all the project materials in the SDP and TIDP.

Designated USAC personnel shall have full access to the document repository during the duration of the project. Contractor shall transfer the document repository to USAC after the completion of each phase.

A.4.C.4.h.   Project Status

USAC and Contractor shall have a weekly team meeting to discuss any pending action items. Contractor shall submit a written weekly progress and status update report to USAC. This report should include the status of project progress, open issues, risks, and action items (with a summary of the action required; the point of contact; and start /end dates). Contractor will facilitate these weekly meetings.

Contractor shall document project status requirements in the SDP and TIDP.

A.4.C.4.i.   Software and Technical Infrastructure Design

Contractor shall establish a preliminary and detailed software design practices to ensure the quality and sustainability of the SLITM solution. To ensure the quality and maintainability of the solution, Contractor's design methods must be acceptable to USAC.

The preliminary design shall be the prototype for early demonstration of the SLITM solution. It shall include the modeling of a solution for each of the documented requirements. Contractor shall present the prototype for USAC to review and conduct walk-throughs of the design documents to enhance USAC's understanding and to help expedite approval.

Detailed design shall include specifications for implementation and refining the architectural representation that leads to detailed data structures and algorithmic representations of software. Contractor shall obtain approval from USAC for both preliminary and detailed designs by scheduling and conducting review sessions for each design phase.

Contractor shall define the technical infrastructure design specifications including network architecture, security architecture, and configuration specifications. Contractor's solution must be designed capable of adding six segment IP address.

Contractor shall document all design process in the SDP and TIDP.

A.4.C.4.j.   Software Implementation

USAC is not mandating any particular software development methodology, but advocate for design geared by excellence and control. Contractor's software development methodology must validate the requirements, and provide artifacts suitable to facilitate O&M transition to USAC upon successful UAT.

A.4.C.4.j.1.   Coding

Contractor shall stay current with all software releases, and comply with coding standards through code inspections and reviews. The SDP should include a list of the programming tools and language(s) to be used. Contractor shall maximize use of reusable modules and software.

A.4.C.4.j.2.   Testing

Each requirement shall be testable and documented in the Software Test Plan (STP). The plan shall include testing objectives, priorities, and evaluation criteria for each test. The STP should

ensure all appropriate testing activities are defined and documented. Test activities shall, at minimum include:

1. Unit testing.
2. System testing.
3. Integration testing.
4. Rules testing.
5. Usability testing.
6. Regression testing.
7. Stress/Load testing.
8. Security testing.
9. Performance testing.

The Software Test Plan must describe the processes and tools for successful testing at minimum, the plan must:

1. Identify tool for tracking and correcting defects discovered during testing.
2. Describe procedures for correcting defects discovered during testing.
3. Process for updating the Requirement Traceability Matrix and software design based on test results.
4. A description of the test methods, and workflow.
5. List of test cases and scenarios.
6. Procedures for notifying USAC of problems discovered in testing, testing progress, and the test schedule.
7. A template for organizing test results for USAC's review.
8. A template for the Final Test report.

 Contractor shall document the Software Test Plan in the SDP.

A.4.C.4.j.3.   *Reviews*

Contractor shall perform detailed reviews and requirement traceability analysis during the course of software development to ensure that requirements are traceable, complete, and testable. Contractor shall ensure that the solution correctly reflects the documented business and technical requirements. Contractor shall prepare a report on reviews and inspection for the purpose of determining whether advancement to the next stage is warranted. This data shall be documented in the SDP.

A.4.C.4.k.   **Technical Infrastructure Deployment**

Technical infrastructure deployment includes the procurement, installation, configuration, testing and physical deployment of all hardware and software identified in the technical infrastructure requirements specification. The technical infrastructure development plan and associated WBS shall govern the technical infrastructure deployment. Following the deployment, the Contractor shall conduct an acceptance review (as illustrated in section A.4.C.6.a) to confirm successful installation and integration of hardware within the USAC provided facilities.

A.4.C.5.   Procurement of Hardware and Software

Contractor shall provide USAC a detailed acquisition plan before procuring any hardware or software products. Following formal review and approval of the acquisition plan by USAC, Contractor shall procure all hardware and software necessary to support the SLITM solution in accordance with the approved acquisition plan. Contractor shall incur all costs associated with hardware procurement, hardware installation, configuration and maintenance, COTS software procurement, as well as COTS software support and maintenance through the O&M period. Contractor may select hardware at its discretion, without constraints regarding brand or technology type. However, Contractor must meet the architecture requirements described in section A.4.B.

Contractor is required to transfer ownership of all hardware and software to USAC at the conclusion of the project and this should be included in the O&M transition plan.

A.4.C.5.a.   **Hardware Documentation**

A.4.C.5.a.1.   **Inventory**

Contractor must submit inventory of all hardware used to support the SLITM solution. The inventory must include all procured components. Hardware, software and any contracts must be included in the inventory. The inventory shall include equipment serial numbers, make, manufacturer, model number, etc. Contractor must submit the inventory report to USAC during the O&M transition period.

A.4.C.5.a.2.   **Configuration**

Contractor must submit server and network configuration documentation including, but not limited to: server kernel configurations, registry settings, disk layouts, etc. The documentation must be sufficient to allow USAC personnel or authorized Contractor to reconstruct the production level configuration of any piece of equipment.

A.4.C.5.a.3.   **Topologies**

Contractor must submit a topology diagram for each software environment and for the overall network configuration, including connections to remote locations that support the SLITM solution.

A.4.C.5.a.4.   **Support Summary and Documentation**

Contractor must provide a summary document that details the support agreements for all procured components. The summary shall include (as applicable):
  1. The component ID:
     a. Serial number.
     b. Make.
     c. Model.
  2. The support agreement information:
     a. Support provider name.
     b. Purchase date.

       c. Agreement term.
       d. Cost.
       e. Expiration date.
       f. Contact information for support organization.

Contractor must submit the support summary to USAC during the O&M period. In addition to the summary document, the Contractor must maintain and submit to USAC copies of the complete support agreements for all components.

A.4.C.5.b.   **Software Documentation**

A.4.C.5.b.1.   **Inventory Documentation**

Contractor must maintain an inventory of all software used to support the SLITM solution. The inventory must include both COTS products and if applicable, custom software. Software for all environments must be included in the inventory. The inventory shall include all information for all software used such as (as applicable): software manufacturer, version and patch level, and release date.

Contractor must submit the software inventory report to USAC prior to the O&M transition period.

A.4.C.5.b.2.   **Support Summary and Documentation**

Contractor must provide USAC a summary document that details the software license and support agreements for all software. The summary shall include:

1. Software product;
2. License type;
3. Number of seats;
4. Support provider name;
5. Purchase date;
6. Agreement term;
7. Cost;
8. Expiration date; and
9. Contact information for support organization.

Contractor must submit the support summary to USAC prior to the O&M transition period. In addition to the summary document, the Contractor must maintain and submit to USAC copies of the complete support agreements for all software.

A.4.C.6.   **Solution Acceptance**

Contractor must document, for USAC's approval, the criteria that the SLITM solution must satisfy for acceptance by USAC. The acceptance criteria will include written documentation that verifies all the environments are operating satisfactorily – that all the requirements documented have been attained – and will include artifacts such as, but not limited to:

1. Performance of applications.
2. Application security controls.
3. Requirements verification.
4. Application usability.

In addition, the acceptance criteria will include verification of solution performance through UAT conducted by USAC and QA conducted by the Contractor for purposes of demonstrating that the new environments meet USAC-approved acceptance criteria.

Upon receipt of documentation from Contractor that all acceptance criteria have been satisfied, USAC will provide the Contractor a written notification to conduct formal acceptance review of the solution for USAC. The USAC Contracting Officer will conduct formal acceptance at the USAC Headquarters, 2000 L St., NW, Suite 200, Washington, DC 20036. The USAC Contracting Officer reserves the right to unilaterally designate a different USAC agent as USAC's authorized representative. Contractor will be notified in writing if a different representative is designated.

A.4.C.6.a.   **Technical Infrastructure Deployment Acceptance**

Contractor shall schedule and conduct a technical infrastructure deployment acceptance review to validate the successful execution of infrastructure deployment as defined by the TIDP and supporting project plan. This checkpoint is meant to recognize the successful installation and integration of the required SLITM hardware and software products and configuration within the USAC provided facilities. The acceptance review requires, at minimum successful completion of all:
1. Required tasks.
2. Requirements conformance.
3. Risk assessment.
4. Test results.
5. Performance report.

Contractor shall provide detailed documentation supporting the deployment, setup, and configuration of all hardware and software.

A.4.C.6.b.   **C&A**

Contractor shall fully support C&A requirements for documentation, solution access and test time. USAC will provide C&A requirements to the Contractor for inclusion in the overall SLITM solution Project Plan.

In the event that there are C&A findings classified as Severe or High, and it is determined by USAC, the findings are the responsibility of the Contractor, Contractor shall remediate any of those findings at no additional cost to USAC, and within twenty (20) days of the delivery of the C&A findings. The O&M transition will be deemed successful and complete upon final C&A testing of the production of the SLITM solution, and in accordance with UAT.

A.4.C.7.   Support and Software Maintenance

Contractor must provide support for the operating solution and administration of equipment and software until the O&M transition to USAC concludes. Contractor is required to maintain full responsibility of O&M for each system function that is deployed to the Production Environment prior to the completion of each Phase. In addition, the Contractor shall provide USAC full O&M support for three months following the acceptance of each phase (Phase I and II). During the O&M period, the Contractor shall follow USAC's maintenance requirements as described in further details below. Contractor support must also include training, and documentation.

A.4.C.7.a.   **Requirements during O&M Period**

A.4.C.7.a.1.   *Availability: External Facing*

Contractor shall ensure the SLITM solution is available to the external SLP stakeholders 24 hours per day, 7 days a week with, 99% availability rate. Individual web servers may be taken offline during periods of scheduled maintenance without violating this uptime requirement.

For the solution to be considered available, all functional elements must be available and operable to the end-user community and solution performance must be sufficient such that there is no significant impact on end-user activities. Timeout errors, unusually long delays in processing, and similar solution behavior will be considered sufficient reasons to consider the solutions not available.

All other applications considered to be internal facing are subject to availability noted in the section below.

A.4.C.7.a.2.   *Availability: Internal Facing*

All applications and databases required to support normal program operations shall be fully operational Monday through Friday, between 6:00 AM and 9:00 PM Eastern Time, with 99%, availability rate.

A.4.C.7.a.3.   *Scheduled Downtime*

All scheduled downtimes (monthly) shall begin after business hours on Friday and be completed before noon on Sunday. USAC's preference for scheduled downtime is to utilize a maintenance window. Should Contractor need additional downtime, it shall schedule such downtimes and maintenance in consultation with USAC ten (10) business days before such outage to minimize impact on personnel and operations. Contractor must receive approval from USAC prior to any scheduled downtime.

A.4.C.7.a.4.   *Unscheduled Downtime*

In the event there is an unscheduled solution downtime, outreach by a Contractor representative is then required per the service level agreement stated in section A.4.C.7.a.7.i .

In addition, the Contractor is required to provide USAC with a Reason for Outage (RFO) report no later than 7 hours after issue resolution. The RFO report must document the time and date the outage occurred, the duration of the outage, symptoms, solutions affected, root cause, and

measures taken to prevent the outage from happening again. Based on the RFO report USAC reserves the right to request additional investigation into the issue(s) and any delay would be agreed upon with USAC at no additional cost to USAC.

If any condition compromises the production solution availability for more than 12 hours, Contractor must consult with USAC IT management, and if directed, implement the Disaster Recovery plan.

A.4.C.7.a.5.   *Maintenance*

Contractor shall develop a SLITM maintenance plan. The plan shall establish a routine maintenance program to be used for proactive, scheduled, disciplined maintenance of all hardware, network equipment used to support the SLITM solution.

The maintenance plan must be approved by USAC and shall be included in the O&M transition plan. During the O&M period the Contractor must ensure solution maintenance is in accordance to the SLITM maintenance plan. Maintenance downtimes shall be scheduled after business hours on Friday and completed before noon on Sunday. Contractor must comply with the approved maintenance plan.

A.4.C.7.a.6.   *Error Reporting*

If the Contractor chooses not to utilize USAC's help desk ticketing tool to facilitate the tracking and managing of error tickets, the Contractor must provide a description of its proposed error reporting method(s) and tool(s) for USAC's review and approval before development commences. The selected tool shall have the ability to export all error ticket history data generated during testing and O&M period into a file format directed by USAC. The error reporting process must also define a feedback mechanism on the status of the error ticket to the person who initiated the problem. The O&M transition plan shall include the transfer of error ticket(s) history data to USAC.

Additionally, during the O&M period the Contractor is required to provide a written weekly report to USAC detailing at minimum: the cause, action taken, duration, and status of all error tickets. The format of these reports must be approved by USAC.

A.4.C.7.a.7.   *Help Desk Requirements*

Contractor must provide multiple level helpdesk support that include, a first level support function that performs triage on all tickets received and escalates to second level support if unable to rectify the problem themselves within a defined time. Second level support may be required to address more complex network issues, or problems with custom applications or data. Further escalation may be required if the problem is determined to be with a COTS product.

Outreach by a Contractor representative is then required per the service levels stated in section A.4.C.7.a.7.i , depending on the severity level of the ticket. The Contractor will not be required to provide any type of user desktop support.

Contractor shall have a well-established IT customer support infrastructure in house with 24 hours turnaround time guaranteed.

A.4.C.7.a.7.i.   ***Severity Level Definitions***

Severity 1 – Critical Impact

1. Any system or network failure that impacts multiple external stakeholders of SLP.
2. A system is down which affects the timely delivery of payment data.
3. Critical operations functions are impacted, i.e. application processing, invoice processing.
4. Scheduled maintenance fails, causing a system to be unavailable to customers during normal scheduled up time.
5. A system-wide security intrusion or virus attack that has the potential of impacting computing operations.
6. Other critical, infrastructure components such as job scheduling, Demilitarized Zone (DMZ) servers.

Severity 2 – High Impact

1. A user's security or system access is not working.
2. A user gets an error message trying to access an application and cannot continue.
3. Data feeds from any system to a corporate data mart(s) or data warehouse fails to occur on time.
4. A user is experiencing slow response.

Severity 3 – Customer Request

1. User name/password issues.
2. User account access adds/changes/deletes.

A.4.C.7.a.7.ii.   ***Service Level Agreements (SLAs)***

Contractor must respond to and resolve reported troubles within the service levels described below. Any necessary escalations within Contractor's IT organization must be handled within these prescribed SLAs. If a problem resolution requires outreach or escalation to a COTS product contractor support organization, these SLAs are not applicable.

Table 7- Service Level Agreements

Weekdays 6am – 9pm, EST			
Severity	**Automated Acknowledgement**	**Technician Outreach**	**Resolution of Issue(s)**
Severity 1	Immediate	15 minutes (after receipt of ticket)	30 minutes (after outreach)
Severity 2	Immediate	20 minutes (after receipt of ticket)	35 minutes (after outreach)
Severity 3	Immediate	35 minutes (after receipt of ticket)	60 minutes (after outreach)
Weekdays 9pm – 6am, EST and weekends (Friday 9pm – Monday 6am)			
Severity	**Automated Acknowledgement**	**Technician Outreach**	**Resolution of Issue(s)**
Severity 1	Immediate	35 minutes (after receipt of ticket)	35 minutes (after outreach)
Severity 2	Immediate	45 minutes (after receipt of ticket)	40 minutes (after outreach)
Severity 3	Immediate	1 hour (after receipt of ticket)	60 minutes (after outreach)

A.4.C.7.a.8.   O&M Personnel

Contractor must maintain dedicated resources needed to troubleshoot, fix, and test issue(s). Contractor must present its staffing plan for the O&M support of the SLITM solution to USAC for approval. The O&M staffing plan personnel description must include at minimum: the number of years of relevant work experience, title, and roles and responsibilities. USAC requires at least one key personnel involved in the development phase to be included as part of the Contractor's O&M team.

USAC can choose to include one or more USAC IT technical personnel within Contractor's O&M team. These roles may be full or part time and would be integrated into Contractors Project Plan as committed resources funded by USAC. The integration of USAC personnel would provide key learning experience to help facilitate O&M transition.

A.4.C.7.b.   **Transition**

Contractor shall designate an O&M transition project manager, who will be dedicated to the planning and execution of the O&M transition efforts. The purpose of the transition task is to transfer to USAC expert knowledge, and artifacts that support SLITM solution in a concise, thorough and efficient way.

The transition project manager shall develop an O&M transition plan. The transition plan shall provide an outline of the activities necessary to perform a smooth O&M transition to USAC IT. In addition, the plan shall address product ownership to be turned over to USAC (software, hardware, tools, etc.), schedules, and support during transition. The plan must be approved by the USAC and Contractor shall comply with the approved plan.

The transition project manager shall utilize an approach that will assure reliable and uninterrupted service during and following the O&M transition period. The objective is to have operations and application support resources sufficient for USAC to assume all responsibilities upon successful completion of UAT, and C&A activities.

The following describes the minimum required content of the O&M transition plan:

1. An executive summary of the document's content.
2. How the Contractor will maintain and operate SLITM solution during the O&M transition period.
3. How maintenance responsibility of SLITM shall be formally transferred to USAC IT.
4. The knowledge transfer activities that the Contractor shall develop to transfer O&M knowledge to USAC IT.
5. The knowledge transfer activities that the Contractor shall develop to transfer solution knowledge to USAC IT helpdesk staff necessary for providing support to solution users.
6. Process to transfer all tools and licenses needed to maintain the SLITM solution.
7. Processes for documenting contingency plans for all significant risks.
8. Audit and reconciliation of all hardware and software purchased by the Contractor for the SLITM solution.
9. Process to transfer supporting project documentation to USAC, including helpdesk requests.
10. Identification of transition timeline.
11. Lesson(s) learned.

A.4.C.7.c.   **Documentation**

Contractor is responsible for providing USAC a complete and accurate electronic copy of the SLITM solution documentation(s). The documents shall be classified into two subcategories: 1) Solution Documentation and 2) User Manual Documentation.

The Solution Documentation must, at a minimum include:

1. An overview of the solution, to include, at a minimum:
    a. A description of the solution.
    b. A flowchart of major processes in the solution.
    c. A description of all the environments.
    d. High and detailed level design documents.
    e. Data Dictionaries.
    f. Database Schemas.
    g. Unified Modeling Language (UML) with the following structural diagrams:
        i. Class diagram.
        ii. Object diagram.
        iii. Component diagram.
        iv. Deployment diagram.
    h. Behavioral diagrams:
        i. Use Case diagram.
        ii. Sequence diagram.
        iii. Collaboration diagram.
        iv. Activity diagram.
2. O&M transition plan.
3. Maintenance Plan.
4. Security documentation.
5. SLITM Training Plan.
6. Software and hardware manuals (if applicable).

Contractor shall develop and provide distinct set of user manuals for predefined groups such as: applicants, service providers, and each role type for SLP operations. The user manual must contain clear and understandable instructions in how to use SLITM solution in a simple way. Since many users will refer to the user manual when they encounter problems it is essential to construct the user manual in a clear and logical structure. To further simplify the learning process the Contractor shall include illustrations, which will help eliminate user frustration.

The User Manual Documentation, at a minimum, must:

1. Be written and organized so that users not trained on the solution can easily learn how to perform user functions from reading the documentation.
2. Be written in a procedural, step-by-step format.
3. Contain table of contents and an index.
4. Acronyms used in user instructions must be identified and defined clearly.
5. Contain a section describing all reports that can be generated, which includes the following:
    a. A description of each report.
    b. The purpose of the report.
    c. Definition of all fields in the report with detailed explanations.

To facilitate a smooth O&M transition to USAC IT, the Contractor shall also develop a solution administration manual, which should contain at minimum, procedures for backup,

troubleshooting hints, and technical support information. The solution administration manual shall also be clearly and logically structured to facilitate the learning process.

In addition, Contractor shall design desk aids, which will be handed out at each of the training sessions. All documentation submitted to USAC will become the property of USAC.

A.4.C.7.d. **Training**

Contractor shall develop a SLITM Training Plan for USAC's approval. The plan shall, at minimum include: training-related tasks, training schedule, and training material development plan. In addition, the plan shall include a description of Contractor's staff responsible for the training development and delivery, including at a minimum, the number of years of relevant work experience, title, and roles and responsibilities.

Contractor shall facilitate training sessions to USAC personnel on the use of SLITM solution and support. Contractor will be required to provide training to the USAC IT and SLP operations personnel and the SLP operations vendors, personnel.

Contractor shall conduct four different categories of training:

1. SLP operations team, where training will be geared towards the use of the SLITM solution, based on the different sets of user types and roles.
2. SLP operation vendors, where training will be geared towards the use of the SLITM solution, based on the different sets of functions, user types and roles.
3. SLP Finance Team, where training will be geared towards the use of the financial module of the SLITM solution, based on the different sets of user types and roles.
4. USAC IT, for IT staff that will be assisting in trouble-shooting solution difficulties (O&M). This level of training will pertain to:
    a. Solution concepts;
    b. Functionality (general/detailed);
    c. Software architecture and design;
    d. Programming techniques(if applicable);
    e. Troubleshooting;
    f. Backup and restore functions; and
    g. Solution configuration and administration.

Contractor shall coordinate the training sessions with the designated USAC training coordinator. The training packet(s) (hard and soft copies) shall be submitted to USAC's training coordinator prior to the first training session for USAC's approval. Although subject to change following award, currently the locations for trainings are as follows:

1. USAC's headquarters for SLP operations, Finance, and USAC IT team.
2. New Jersey and Kansas for SLP operation vendors.

A.4.C.8.   Business Continuity

Contractor is required to work with USAC to develop, test, and maintain a federally compliant Business Continuity Plan (BCP), and IT Disaster Recovery Plan (DRP) for the SLITM solution. Each of these requirements is clearly defined via industry best practices and is detailed in the following federal requirements:

1. NIST SP 800-34, Rev 1, Contingency Planning Guide for Federal Information Technology Systems.
2. Homeland Security Presidential Directive (HSPD)-20, National Continuity Policy

The offerors will provide an approach for business continuity development in its proposal. Contractor will deliver a Business Continuity Plan, consistent with the approach for business continuity development included in its proposal, sixty (60) days prior to the production solution cutover that will be subject to USAC's review and approval.

The Business Continuity Plan must address federal regulation compliance and include the provision of backup, disaster recovery, and storage capabilities which will maximize the availability of services during an event that would otherwise affect the delivery of the required services.

A.4.C.9.   Security

A.4.C.9.a.   Security Requirements

Contractor must incorporate within the proposed solution design a solution that meets or exceeds all federal and USAC security requirements and standards for network, communications and system protection for the proposed system and direct support mechanisms. Contractor shall ensure the proposed solution protects the confidentiality and integrity of USAC information including sensitive, confidential and personally identifiable information.

The security requirements must be based on Federal Information Processing Standard (FIPS)-199, Standards for Security Categorization of Federal Information and Information Systems; FIPS-200, Minimum Security Requirements for Federal Information and Information Systems; National Institute of Standards and Technology (NIST) Special Publication (SP) 800-37, Rev 1, Guide for Applying the Risk Management Framework to Federal Information Systems: A Security Life Cycle Approach; and, NIST SP 800-53, Rev 3, Recommended Security Controls for Federal Information Systems and Organizations.

The overall design of the solution is required to provide appropriate isolation of the back-end database from the public-facing front-end servers; these front-end servers will be located in a USAC DMZ.

The design and implementation of the solution is required to comply not only with NIST requirements but also Office of Management and Budget (OMB) mandates such as OMB memoranda M-06-16, Protection of Sensitive Agency Data, and M-07-16, Safeguarding Against and Responding to the Breach of Personally Identifiable Information, and USAC policies and procedures. Any deviation from these requirements must be approved by USAC.

Contractor shall design safeguards to protect the confidentiality, integrity, and availability of USAC information processed and maintained by the solution and data that is accessible to Contractor as part of this engagement. Such safeguards will include data access controls, data/session encryption, and system/data access logging. Contractor must incorporate technical solutions that provide secure information transmission, usage, and storage.

Some federal sources allow the organization to define specifics including, but not limited to, time frames, occurrences and settings (i.e. NIST SP 800-53 Rev 3). Contractor shall identify these instances for USAC and provide a recommendation. USAC shall review and approve or deny the recommendation. If denied, USAC shall provide the specifics for Contractor to implement.

USAC is required, and thus, Contractor is required, to follow the security related guidance and regulations listed below.

1. Federal Information Security Management Act (FISMA) (44 U.S.C. § 3541, et seq.) is a federal law enacted in 2002 as Title III of the E-Government Act of 2002 (Public Law 107-347). In brief, FISMA requires each federal agency to develop, document, and implement an agency-wide information security program.

2. In accordance with the provisions of FISMA, information security must be effectively integrated into the system development life cycle.

3. All new applications must undergo a security assessment which will be comprised of a risk assessment per NIST SP 800-37, Rev. 1, Guide for Applying the Risk Management Framework to Federal Information Systems: A Security Life Cycle Approach, and a full C&A, following the previously identified federal guidance included in NIST SP 800-53 Rev. 3, NIST SP 800-53A Rev. 1, and FIPS-200.

4. Title II, Section 208 of the E-Government Act of 2002 (Public Law 107-347), requires a privacy impact assessment prior to developing or procuring IT systems that collect, maintain, or disseminate information in identifiable form (IIF). All systems shall have a current privacy impact assessment to ensure compliance with the Privacy Act of 1974 (Public Law 93-579, enacted December 31, 1974, 5 U.S.C. § 552a) and other IT privacy requirements.

A.4.C.9.b.   Contractor Data Access

Contractor personnel will not attempt to access, or allow access to, any data, files, or programs within the USAC information solutions environment to which they are not entitled under the Contract.

A.4.C.9.c.   Security Test and Evaluation (ST&E)

Contractor must cooperate in the ST&E process by making all necessary resources to perform ST&E available for USAC. Contractor shall implement any and all recommendations arising out of the ST&E process in accordance with a schedule required by USAC.

A.4.C.9.d.   Electronic Processes and Electronic Signatures

In addition to the requirements outlined in the Security section, A.4.C.9.a , the proposed solution must abide by all applicable laws, rules, regulations and guidance for electronic processes and

signatures including, but not limited to, the Electronic Signatures in Global and National Commerce Act (E-Sign Act), Pub. L. No 106-229, 114 Stat. 464 (2000)(codified at 15 U.S.C. § 7001 et. seq.); Uniform Electronic Transactions Act (UETA), approved by the National Conference of Commissioners on Uniform State Laws (NCCUSL) on July 23, 1999 (NCCUSL is now known as the Uniform Law Commission); Government Paperwork Elimination Act (GPEA), 44 U.S.C. § 3504; OMB M-00-10, Implementation of the Government Paperwork Elimination Act (2000), Appendix II to the Office of Management and Budget (OMB) Circular A-130, Management of Federal Information Resources; OMB M-00-15, Guidance on Implementing Electronic Signatures (2000); Department of Justice, Legal Considerations in Designing and Implementing Electronic Processes: A Guide for Federal Agencies (2000); NIST SP 800-30, Risk Management Guide for Information Technology Systems, Recommendations of the National Institute of Standards and Technology (2002); OMB M-03-22, OMB Guidance for Implementing the Privacy Provisions of the E-Government Act of 2002 (2003); OMB M-04-04, E-Authentication Guidance for Federal Agencies (2003); and, NIST SP 800-63-1, Electronic Authentication Guideline (2011).

All OMB approved programmatic forms must be viewed by account holders prior to electronic signature in the OMB approved format. Additionally, all OMB programmatic forms must be electronically retrievable and producible in the OMB approved format. And all system generated notices, information provided by applicants or service providers, and other programmatic documentation must be electronically retrievable and producible in the format it was sent or received.

Online accounts must provide the functionality for USAC to delete/disable accounts both temporarily and permanently (i.e. if an individual or an entity is debarred from the program, the functionality must exist to prevent that individual or entity from obtaining online capability during the pendency of the debarment).

A.4.C.9.e.   Remote Access

Contractor shall enforce remote access controls that will comply with all USAC and federal requirements; any deviations from these requirements must be approved by USAC. USAC and Contractor cannot administer the system or accounts through the Internet access provided for SLITM solution end-users. Administration of the system is limited to internal access only or an approved USAC access portal utilizing multi-factor authentication only; where one of the factors is provided by a device separate from the computer gaining access.

A.4.C.9.f.   Warning Banner and Terms and Conditions

The SLITM system will require a warning banner before access is permitted. The warning banner will require explicit acknowledgement before the user can proceed to the login screen. The specific language for the banner will be provided by USAC.

In addition to the warning banner before access, there must be banners before a person electronically signs a document, or takes other serious action that must be agreed to before the person is able to sign the document or take the action.

Similar to the warning banners, the system must also have terms and conditions agreed to by external account holders (i.e. applicants and service providers) before access is permitted the first time. Once agreed to, the terms and conditions must be accessible from within the system. The specific language for the terms and conditions will be provided by USAC.

With both the warning banners and the terms and conditions, the system must have the ability to incorporate changes and edits to the text, and, with regard to the terms and conditions, require renewed-agreement of account holders.

A.4.C.9.g. **System Logging**

The SLITM solution, like all production systems and public facing systems at USAC, is required to direct system security events generated at the operating and application levels towards USAC security collection mechanisms. To facilitate this collection the system will be required to natively direct OS and application security events through syslog functionality or proprietary logging agent(s) provided by USAC.

A.4.C.9.h. **Security Milestones**

Contractor will need to incorporate points within the SLITM project plan to permit the USAC IT Security Group to perform design reviews, permit application and system vulnerability and compliance testing. Additional milestones would include Risk and Security Assessment supporting the C&A of this application/system.

USAC IT Security team and USAC Legal shall be permitted to perform design reviews to SLITM electronic processes/information systems and online forms. Contractor shall incorporate this milestone within the SLITM project plan.

A.4.D. Project Management

Project management is an essential part of any systems implementation effort and runs throughout the entire systems development life cycle. Strong project management will be critical to the overall success of the SLITM implementation.

The Project Management Plan (PMP) will provide definition and process documentation for change, quality, and risk management practices and procedures, understanding that there may be variations in practice for specific activities such as application development. The PMP will document all subcategories identified in this section.

Contractor shall prepare and deliver the draft PMP within 45 days of contract a final within 60 days of contract award.

A.4.D.1. Project Plan Development and Maintenance

The detailed project plan and work breakdown structure ("WBS") submitted by the Contractor in its proposal must support Contractor's proposed implementation approach that includes all components of the project and the implementation timeline specified in this document including Table 1 and Table 3 and in Attachment 1. Contractor shall update these documents upon award, if directed by USAC to reflect the contract effective date, and once USAC has approved the

project plan, Contractor must baseline the plan and update the plan as needed throughout the life of the project. It is understood that there are varied development methodologies that Offerors might choose, and further that the choice in methodology might vary the method of developing a project plan. In any regard, it is expected that the development methodology is to be represented within the Project Plan and the associated WBS.

A.4.D.2. Project Communications

A.4.D.2.a. Written and Oral Reports and Regular Communication

Contractor will provide written and/or oral reports to the USAC SLITM project manager. Contractor shall communicate regularly with the USAC SLITM project manager, USAC contracting officer and other USAC staff as required by USAC about the status of the project.

A.4.D.2.b. Project Kick-off Meeting

The project kick-off meeting will provide an introduction between Contractor and USAC personnel who will be involved with the project. The meeting will provide the opportunity to discuss implementation approach and schedule, technical, management and security aspects of the project.

A.4.D.2.c. Weekly Status Meetings

Regular weekly status meetings will be held at USAC between the Contractor and the USAC SLITM Project Team, and other USAC staff and designated attendees as required by USAC. The purpose of the meeting is to maintain an exchange of technical information, discuss and report on tasks accomplished during the preceding week and tasks scheduled to be accomplished in the upcoming week, address any outstanding issues that impact the progress, timeline or costs of the project, and identify any problems encountered requiring action and notification to the management review team in advance of the regularly scheduled monthly management meeting. Contractor will submit a written weekly status report to the USAC SLITM project manager eight (8) business hours in advance of the weekly status meeting.

A.4.D.2.d. Monthly Management Review

Contractor will conduct a monthly management review for the purposes of allowing all interested stake holders to review current status and submit a monthly written status report to the USAC SLITM project manager. The status report shall describe the progress achieved during the past month, plans for the forthcoming month, any problems incurred and resolutions, any anticipated or required action, a detailed breakdown of the total hours performed on each task (for implementation and integration tasks), major milestones accomplished and missed (all tasks), progress against plan and up-to-date cost project cost (burn rate), performance measures for any agreed upon SLA metrics, and any increases in project risk. The report shall provide an explanation of changes and schedule revisions for the preceding month. These reports shall provide sufficient information for USAC to validate Contractor's performance for that time period.

A.4.D.2.e.   Post Phase Review

Contractor shall participate in a USAC-lead Post Phase Review at or near the end of the phase and stage. The purpose of this review is to determine the level of success of that phase or stage in the project and to document lessons learned to improve the quality of the next phase or stage. The focus of the Post Phase Review will be on topics such as:

- Were all of the requirements met?
- Did tasks track to the WBS?
- Were all of the deliverables accepted?
- Was the phase or stage completed on time?
- Forecast versus actual on cost?
- Problems encountered?
- Time spent on unplanned tasks?
- Project metrics and usability of those metrics?
- Was the phase organization effective?
- Use and improvement of communications?
- Suggestions for the upcoming phases and stages?

Contractor shall prepare a Lessons Learned and Recommendations Report to include all information resulting from the Post Phase Review. This report will be used by both USAC and the Contractor for future program and product delivery improvement.

A.4.D.3.   Project Risk Management

Contractor shall describe the procedures to be used for managing areas of risk to successful project completion in a Risk Management Plan. The Risk Management Plan shall identify and prioritize as High, Medium, or Low, the areas of risk, identify the risk factors that contribute to the potential occurrence of each risk, document procedures and metrics for monitoring the risk factors and to reducing the potential occurrence of each risk, and identify contingency procedures for each area of risk. Contractor shall monitor and report on the areas of potential risk. The Risk Management Plan is the governing risk management plan and should reflect differences or reference specific process tailoring that might be applied.

A.4.D.4.   Project Change Management

Contractor shall develop for deployment a governing Change Management Plan (CMP). The plan should address the change management activities that accompany implementation of a software system and associated hardware infrastructure. Included within the scope of change management would be project scope, deliverables, schedule, cost, quality, risk, and administrative impacts to the overall program. Methods of monitoring, controlling, communication, review, and approval are required. The CMP is the governing change management plan.

A.4.D.5.   Review

Unless otherwise designated by USAC in writing, the USAC SLITM Project Manager shall coordinate the review of each deliverable with other USAC staff as required. Inspection and acceptance of deliverables will be made in accordance with the USAC acceptance criteria. To the extent that USAC has questions, concerns, or comments (hereafter collectively "comments") regarding the deliverable, the USAC SLITM project manager will provide such comments to Contractor within a reasonable time after review of the deliverable. In the case of document deliverables, Contractor shall address and incorporate all of USAC's comments and return a revised final deliverable document to the USAC SLITM project manager within five working days of receipt of the comments or per the agreed upon schedule for the specific deliverable. The time frames and format requirements apply to all written reports and documents to be delivered to USAC. Appropriate charts or graphics shall support all written deliverables, including monthly project status reports, weekly meetings, or presentations.

A.4.D.6.   Project Quality Assurance

A.4.D.6.a.   **Quality Assurance Plan**

The Quality Assurance Plan (QAP) shall include a description of the methodology, processes, data collection systems, tools, techniques, and resources that the Contractor proposes to effectively manage the delivery of products and services that meet or exceed the requirements set forth in the Contract. Contractor must assure the quality of all services, software and documentation provided by Contractor, as well their compliance with the requirements of this Contract.

The QAP must describe how the Contractor's overall quality program will be implemented and must include, but is not limited to, the following elements:

1. The resources required to implement the quality assurance process.
2. Schedules.
3. Tasks to be performed.
4. Procedures and tools to be used.
5. Records to be provided.
6. The methodology of identifying and implementing process improvements in the software and hardware development processes and related management areas.
7. The Contractor's quality assurance organization and interfaces.
8. Metrics and performance standards that measure the quality of Contractor's performance and compliance with Contract requirements, including the performance requirements set forth in section A.4.c.1.

A.4.D.6.b.   **Quality Assurance Surveillance Plan**

The Quality Assurance Surveillance Plan (QASP) shall include methods for USAC to monitor Contractor's compliance with the QCP and Contract requirements. The QASP shall also include to the greatest extent possible monetary penalties for failure to comply with performance standards. The QASP will be incorporated into the Contract once approved by USAC.

B.   DELIVERABLES

The sections below detail the contract deliverables and the time table for Contractor's submission of deliverables to USAC.

B.1.A.1.   Project Plan

Contractor shall identify proposed deliverables as a part of its Project Plan. Contractor shall complete the tasks identified in the RFP and provide deliverable items to the USAC SLITM project manager in accordance with the agreed upon schedule specified in Contractor's approved Project Plan. Offeror's proposed deliverables shall be associated with and tied to one of the components or tasks shown in the RFP (or additional components proposed by Offeror in its Project Plan). The relationship between the required deliverables and Project Plan components/task areas is shown in section B.1.A.4 below.

B.1.A.2.   Hardware and Software Licensing

Hardware includes the initial acquisition and hardware maintenance/renewal every year through the contract term. Software Licenses include the initial software license and software license maintenance/renewal through the contract term.

B.1.A.3.   Ownership and Format

All deliverables shall become the property of USAC. Each document deliverable shall be submitted in an acceptable electronic format, using Microsoft® Excel, Microsoft® Office Word 2010, Microsoft® Office Project Professional 2010, or any other format agreed to by the USAC SLITM project manager. All deliverables are expected to be in a written format except when noted.

B.1.A.4.   Timeline

The deliverables identified in the table below are required for this contract. Deliverables are identified by component and task area and may be required for each phase and stage of the SLITM implementation. Contractor shall use the following organizational structure, outlined in the table below, in preparing the Project Plan including the WBS. Consistent with OMB Memorandum M-10-26, the Contractor should employ a segmented approach in the project plan and WBS with each segment performed within a period of 90-120 days. Each segment will deliver a functionality or will support the delivery of a well-defined functionality.

Table 8 - Required Deliverables and Due Dates by Task Area , illustrates the key contract deliverables and a relative timeline for each. This list is not intended to be comprehensive or binding and may be modified and augmented during the contract negotiation. Contract deliverables related to the SLITM are listed below and are determined by the Systems Development Life Cycle (SDLC) process. Where due dates have not been provided, Offerors shall identify proposed deliverable due dates in the proposed Project Plan. All deliverables shall be in written and as indicated in the table below, may also be required to be orally presented.

Table 8 - Required Deliverables and Due Dates by Task Area

Component/Task	Deliverable(s)	Expected Due Date(s)
Project kick-off meeting	Kick-off meeting (written and orally)	Within 10 days of contract award.
Project planning	Project management plan - Draft - Final	Draft within 45 days of contract award. Final within 60 days of contract award.
	Project schedule - Draft revision if requested by USAC - Final if revision requested by USAC	Draft within 15 days of contract award. Final within 45 days of contract award.
	WBS - Draft revision if requested by USAC - Final if revision requested by USAC	Draft within 45 day of contract award. Final within 60 days of contract award.
	Quality assurance plan - Draft - Final	Draft delivered with proposal. Final within 60 days of contract award.
	Quality assurance surveillance plan - Draft - Final	Draft delivered with proposal. Final within 60 days of contract award.
Risk management	Risk analysis - Draft - Final	Draft within 45 days of contract award. Final within 60 days of contract award.
	Risk management plan	Final within 90 days of contract award.
	Recommended risk review procedures - Draft - Final	To be specified in Offeror Project Plan and WBS.
	Risk log	Monthly
	Risk reviews	Quarterly
Project management reports and communication	Monthly management review meeting (written and orally)	Monthly
	Project status update (written and orally) including, but not limited to, progress the project plan/WBS	Weekly
	Status report (written and orally)	Monthly
	Performance metrics	Monthly
	Performance self-assessment	Quarterly
	Quality assurance assessment	Quarterly
Communications and change management activities	Communications and change management strategy and plan. - Draft - Final	Within 90 days of contract award.
	Delivered user communications and change management activities (per month).	To be specified in Offeror Project Plan and WBS.
	Lessons learned and suggestions for improvement.	60 days after production environment launch, for each implementation stage.

Component/Task	Deliverable(s)	Expected Due Date(s)
Change management plan (CMP)	Change management plan - Draft - Final	Draft delivered with proposal. Final within 60 days of contract award.
Status meetings	Status meetings, weekly (written and orally)	Weekly
	Status meeting agenda	Weekly
	Status meeting minutes	Weekly
	Action items resulting from status meeting	Weekly
Requirements development	Requirements development document: - Requirements document - To-be process model - Logical data model - Requirements traceability matrix - Requirements management plan - Technical infrastructure requirements Specifications - Test strategy - Fit-gap analysis -Draft -Final	**Phase I:** Draft within 75 days after contract award. Final within 90 days of contract award. **Phase II:** Draft within 165 days of contract award. Final within 180 days of contract award.
Acquisition Plan	Detailed hardware and software procurement list including vendor and prices	Within 30 days after Requirements Development completion for Phase I.
System integration	SDP- Software development plan (for details please refer to section A.4.C.4) - Draft - Final	**Phase I:** Draft within 30 days after Requirements Development completion. Final within 45 days after Requirements Development completion. **Phase II:** Draft within 30 days after Requirements Development completion. Final within 45 days after Requirements Development completion.
	Preliminary solution design (Prototype Demonstration) (written and orally)	**Phase I:** within 30 days after Requirements Development completion. **Phase II:** within 30 days after Requirements Development completion.
	Detailed solution design	**Phase I:** within 30 days after Preliminary Solution Design completion. **Phase II:** within 30 days after Preliminary Solution Design

Component/Task	Deliverable(s)	Expected Due Date(s)
		completion.
	Configured COTS product(s) (if applicable)	**Phase I:** within 30 days after Preliminary Solution Design completion. **Phase II :** within 30 days after Preliminary Solution Design completion.
	Customized code: source and executable (if applicable)	**Phase I:** within 30 days after Preliminary Solution Design completion. **Phase II:** within 30 days after Preliminary Solution Design completion.
	Solution design review and inspection report - Draft - Final	**Phase I:** Draft within 30 days after Preliminary Solution Design completion. Final within 45 days after Preliminary Solution Design completion. **Phase II:** Draft within 30 days after Preliminary Solution Design completion. Final within 45 days after Preliminary Solution Design completion.
	Software test plan - Draft - Final	**Phase I :** By TBD **Phase II :** By TBD
	Final solution test report	Mutually agreed schedule.
	Solution documentation(for details please refer to section A.4.C.7.c)	**Phase I :** By TBD **Phase II :** By TBD
Technical infrastructure (TI)	TIDP- Technical infrastructure development Plan (for details please refer to section A.4.C.4) - Draft - Final	Draft within 30 days after contract award. Final within 45 days after contract award.
	TI – Installation and configuration	Mutually agreed schedule.
	TI- Acceptance review	Within 30 days after installation and configuration.
Security	Security plan	Draft within 30 days after contract

Component/Task	Deliverable(s)	Expected Due Date(s)
	- Draft - Final	award. Final within 45 days after contract award.
UAT	SLITM UAT plan - Draft - Final	**Phase I :** By TBD **Phase II :** By TBD
	Bug fixes and successful resolution to identified critical solution issues, leading to successful conclusion of UAT in accordance with established priorities and procedures (written and orally)	Within two (2) business days for severity 1 and severity 2. Within five (5) business days for all other issues.
C&A	Remediate any findings that USAC determines to be Contractor's responsibility (written and orally)	Within twenty (20) days after C&A findings.
ST&E	Implement all recommendations arising out of the ST&E process (written and orally)	Mutually agreed schedule.
Solution acceptance	Solution acceptance criteria report	Mutually agreed schedule.
	Formal solution acceptance (written and orally)	Mutually agreed schedule.
Training	SLITM training plan - Draft - Final	Mutually agreed schedule.
	Training manual and desk aids - Draft - Final	Mutually agreed schedule.
	Conduct training sessions (orally)	Mutually agreed schedule.
Production environment.	SLITM launch plan - Draft - Final	**Phase I :** By TBD **Phase II :** By TBD
	Go-live	**Phase I :** TBD **Phase II :** TBD
O&M	Maintenance plan - Draft - Final	**Phase I :** By TBD **Phase II :** By TBD
	O&M transition plan - Draft - Final	**Phase I :** By TBD **Phase II :** By TBD
	Detailed trouble reporting process (written and orally)	Mutually agreed schedule.
	Reason for outage report (written and orally)	As necessary; no later than 7 hours

Component/Task	Deliverable(s)	Expected Due Date(s)
		after issue resolution.
Hardware documentation	Hardware inventory	Ongoing
	Server and network configuration	Ongoing
	Infrastructure topologies for all new environments	Ongoing
	Hardware manual	Ongoing
	Summary document (details the support agreements for all hardware procured components)	Ongoing
Software documentation	Software inventory	Ongoing
	Software manual (if applicable)	Ongoing
	Summary document (details the support agreements for all software procured components)	Ongoing
User support	Help desk issues log and report	Weekly
	Maintenance (month)	Monthly
Business Continuity plan	Contingency plan	60 days prior to production environment launch.
IT disaster recovery plan	Disaster recovery plan	60 days prior to production environment launch.

Attachment 1

KEY SLP TIMELINE AND DUE DATES

SL FY2012																	
ID	Task Name	2011				2012				2013				2014	
		Qtr 1	Qtr 2	Qtr 3	Qtr 4	Qtr 1	Qtr 2	Qtr 3	Qtr 4	Qtr 1	Qtr 2	Qtr 3	Qtr 4	Qtr 1	Qtr 2
1	FCC Form 470 available for FY2012		◆ 5/1												
2	FCC release of FY2012 Eligible services list (ESL)			◆ 9/28											
3	Last Day to file FCC Form 470					◆ 2/21									
4	FCC Form 471 Submission Window														
5	FY2012 Demand Estimate is generated					◆ 4/1									
6	Wave Process/Issue FCDLs														
7	Objectives for Processing FCC Form 471 Applications														
8	First Wave					◆ 3/15									
9	75% of FCC Form 471s and 50% of Dollars Wave Ready						◆ 6/30								
10	87% of FCC Form 471s and 82% of Dollars Wave Ready							◆ 9/30							
11	99.2% of FCC Form 471s is Wave Ready								◆ 1/31						
12	Vacation Contract Rules in Effect (winter)														
13	Vacation Contract Rules in Effect (summer)														
14	First day Invoices can be submitted						◆ 7/1								
15	Service delivery deadline for recurring services									◆ 6/30					
16	Invoice deadline for recurring services (without Invoice deadline extension)									◆ 10/27					
17	Service delivery deadline for non-recurring services														
18	Invoice deadline for non-recurring services (without Invoice deadline extension)											◆ 1/28			

Task	▭	Milestone	◆	External Tasks	▭
Split	··········	Summary	▬▬▬	External Milestone	◇
Progress	▬▬▬	Project Summary	▭▭	Deadline	⇩

The timeline and due dates set forth are intended to provide offerors with an understanding of the key program events based on historical data. The timeline and due dates are not intended to be a representation to an offeror or contractor that the timeline and due dates will remain constant during contract performance.

Attachment 2: SCHOOLS AND LIBRARIES PROGRAM CORE DIAGRAM

KEY PROCESSES

Applicant Processes
- Apply
- Receive Funding Decision
- Confirm Service Delivery
- Invoice for Payment
- Receive Reimbursement
- Request or Respond to Changes
- Submit Appeals

Service Provider Processes
- Submit Service Provider Required Forms
- Selected to Provide Services by an Applicant
- Receive Funding Decision
- Deliver Service
- Invoice For Services
- Receive Payment
- Reimburse Applicants for BEAR Payments
- Request or Respond to Changes
- Submit Appeals

SLP Core Processes
- Manage Fund Year

Pre-Commitment
- Application InTake
- Review Application

- Commit
- Delivery Confirmation Review

Invoicing
- Invoice InTake
- Review Invoice

- Make Payment

Post-Commitment
- Commitment Adjustments
- Manage Appeals
- Process Returned Funds
- Request Changes
- Process Change Requests
- Manage Payment Issues

SLP Support Processes
- Provide Customer Service
- Mail Letters & Correspondence
- Document Production
- Provide Report
- Manage Service Eligibility
- Manage Business Rules & Admin
- Manage Participants Status
- Conduct Audit Response
- Manage Whistleblower Reports

Core Data
- Eligible Services
- Applicants
- Service Providers
- Technology Plan Certifiers
- Consultants
- Entities
- FCC Orders
- Operational Procedures
- Business Rules
- Invoices
- Appeals
- Funds Availability
- Submitted Supporting Documentation
- Applications for Funding
- Funding Requests

Key Application Functions
- PIN Authentication (eCert)
- Commitment Mgmt (WAVE)
- Commitment Adjustment Mgmt (COMAD)
- Service Mgmt (Service Matrix - Access)
- Review Children's Internet Protection Act Status (CIPA)
- Review Assignment Status (STARS)
- Appeals Mgmt (APPEARS)
- Invoice Mgmt (ISTARS) (Invoice Deadline Extension)
- Data Entry Mgmt (ADC,PCS)
- Query & Reports (Access/Excel)
- Forms Mgmt (Internal & Internal Web)
- Document & Records Mgmt (Siebel and others)
- Customer Support (Siebel,IVR)
- Payment Mgmt (FMS)
- Correspondence Mgmt
- Technology Plan Approval (TPA)
- Service Extensions

(Applicants, Service Providers)

Experience
- Unauthenticated Web Tools (Application Status, Funding Request Status, Search, and others)
- Submit Application, Invoice, and other Program Forms
- Send Electronic Correspondence
- Customer Service
- SLP Customer Outreach
- Applications, Invoices, and other (Paper)
- Requested Supporting Documentation
- Payments (EFT)
- Correspondence (Paper)

Services
- Discounts for Internal Connections
- Discounts for Internet Access
- Discounts for Basic Maintenance for Internal Connections
- Discounts for Telecom Services/ Telecommunication

OPERATIONS ENTITIES
- USAC SLD
- USAC IT
- SLP Operations Providers
- USAC Financial Opps
- USAC Budgetary Reporting

LEGEND
- Key Business Process
- Core Data
- Key Application Function
- Business Object (Medium)
- Realized Service

Attachment 3

SLP WORKLOAD AND VOLUMES

This attachment includes the following tables:

Table A: Workload Data

Table B: Form Counts

Table C: Estimated Participant Numbers

Table D: Estimated Helpdesk Requests

The approximate workload volumes and participant levels set forth below are estimates only and are intended to provide offerors with an understanding of what the requirements are expected to be based on historical data. The workload volumes are not intended to be a representation to an offeror or contractor that the estimated amounts will be required, ordered or sustained during contract performance, or that conditions affecting requirements will be stable or normal.

Table A: Workload Data

Note that the volumes for SLP submissions are stable and are not currently expected to change materially during term of this contract.

Item #	Process and/or Function	Volumes for Calendar Year 2008	Volumes for Calendar Year 2009	Volumes for Calendar Year 2010	Volumes for Calendar Year 2011
1	**Customer Contact Center: Telephone Calls**				
	Inbound calls	61,268	59,843	57,774	65,837
	Outbound calls	9,084	12,447	10,993	8,225
	Average talk time per call	5.26	5.12	5.25	5.25
	Peak month call Volumes	10,065 (January)	10,061 (February)	10,024 (February)	13,006 (March)
	Peak date call volume:	1,671 (2/7/08)	1,522 (2/12/09)	954 (2/19/10) Low peak day because deadline was postponed	1,599 (3/24/11)

Item #	Process and/or Function	Volumes for Calendar Year 2008	Volumes for Calendar Year 2009	Volumes for Calendar Year 2010	Volumes for Calendar Year 2011
2	**Customer Contact Center: E-mail Response**				
	Inbound email/Web	8,471	8,389	7,721	10,290
	Inbound Fax	195	179	134	67
3	**Customer Contact Center:** **Requests for Program Forms**	11	<10	32	34
4	**Document Receipt, Scanning, Tagging, and Tracking** (in number of pages)	517,501	437,463	395,317	392,910
5	**Paper Program Forms: Volume Received: (review and data entry)** **FCC Form 470**				
	FCC Form 470	400	375	282	233
	FCC Form 470 certification (paper)	8,549	8,963	7,832	8,634
	FCC Form 471				
	FCC Form 471	844	993	798	1,167
	FCC Form 471 certification (paper)	7,957	7,508	7,449	6,962
	FCC Form 472 (BEAR)				
	FCC Form 472	29,229	25,027	23,584	22,844
	Invoice lines (paper)	87,220	73,785	67,462	63,601
	Peak month October for FCC Form 472	7,232	6,680	6,144	6,283
	FCC Form 473 (SPAC)	5,102	5,372	5,525	5,389
	FCC Form 474 (SPI)				
	FCC Form 474	1,596	1,563	1,447	1,304
	Invoice Lines (paper)	13,037	23,450	5,960	3,649
	Peak month for FCC Form 474 (forms)	169	152	161	142
	FCC Form 486				
	FCC Form 486	2,246	1,918	1,840	1,742
	FCC Form 486 certification	6,236	5,827	6,319	5,974
	FCC Form 500				
	FCC Form 500	4,337	3,652	4,083	5,242

Item #	Process and/or Function	Volumes for Calendar Year 2008	Volumes for Calendar Year 2009	Volumes for Calendar Year 2010	Volumes for Calendar Year 2011
6	**Document Archiving**				
	Current Archives (boxes)	7,342	7,662	7,817	7,962
	Archiving-annual (boxes)	320	155	145	163
7	**Letter Processing – batch printing and mailing**				
	FCC Form 470 RNLs	22,430	35,761	26,640	58,340
	Pre-Window FCC Form 471 Return	0	0	0	0
	FCC Form 471 RALs (Applicant)	41,505	39,803	40,395	49,546
	FCC Form 471 RALs (Srvc. Provider)	22,841	22,033	21,196	22,234
	Out-of-Window letters	553	332	186	310
	FCC Form 471 Ackgt of Cancellation	50	0		0
	FCC Form 470 Warning (470 no 471)	26,011	25,783	0	25,639
	Applicant FCDLs	41,708	41,760	27,083	39,524
	Service Provider FCDLs	21,611	20,605	41,785	18,899
	Applicant RFCDLs	1,234	1,704	19,474	2,186
	Service Provider RFCDLs	1,317	1,483	1,446	2,026
	FCC Form 486 Warning (Maybe late)	5,130	4,031	1,182	6,701
	FCC Form 486 Applicant Notif.	32,525	30,567	2,385	35,094
	FCC Form 486 Service Provider Notif.	21,298	21,738	35,436	20,783
	486 Cancel - Applicant	36	38	20,389	15
	486 Cancel - Service Provider	51	72	15	26
	FCC Form 486 Rejection (TPA)	96	180	41	172
	FCC Form 500 Applicant Notif	4,009	3,096	131	4,856
	FCC Form 500 Service Provider Notif.	1,974	1,682	3,651	4,794
				1,854	

Item #	Process and/or Function	Volumes for Calendar Year 2008	Volumes for Calendar Year 2009	Volumes for Calendar Year 2010	Volumes for Calendar Year 2011
7 cont'd	**Letter Processing – batch printing and mailing (continued)**				
	FCC Form 472 Notification (Applicant)	62,729	63,104	67,764	85,248
	FCC Form 472 Notification (SP)	62,629	62,658	68,066	61,288
	7-Day NRRIR letter – 470	1	0	0	3
	7-Day NRRIR letter – 470 No Cert	19	20	18	23
	7-Day NRRIR letter – 471	3	1	1	3
	7-Day NRRIR letter – 471 No Cert	19	17	7	9
	7-Day NRRIR letter – 486	14	28	12	20
	7-Day NRRIR letter – 486 No Cert	4	3	2	1
	7-Day NRRIR letter – 500	27	23	30	36
	7-Day NRRIR letter – SPAC	50	49	35	37
	7-Day NRRIR letter – BEAR	120	87	88	69
	PIN letters	9,699	9,836	9,154	10,060
	Quarterly disbursement reports	52,898	54,152	56,910	60,137
	471 Not certified	1,986	603	662	655
	Total	**434,665**	**441,361**	**446,149**	**508,745**
8	**RAL Modifications**				
	FCC Form 471 RALs (Applicant)	41,505	39,803	40,395	49,546
	FCC Form 471 RALs (Service Provider)	22,841	22,033	21,196	22,234
	Returned with Modifications	2,689	3,121	4,245	4,798

Item #	Process and/or Function	Volumes for Calendar Year 2008	Volumes for Calendar Year 2009	Volumes for Calendar Year 2010	Volumes for Calendar Year 2011
9	**Pre-commitment Reviews (include Initial and Final Review)**				
	Regular PIA Reviews (# of 471s)	38,026	38,564	41,438	38,209
	Regular PIA Reviews (# of P1 FRNs)	101,864	101,172	109,367	101,024
	Regular PIA Reviews (# of P2 FRNs)	19,857	18,029	20.085	13,398
	Average # of Customer Contacts per 471	5	4.5	4	5
10	**Funding Commitment Process**				
	Pre-Commitment PIA Waves	91	108	139	148
	Post-Commitment Appeals Waves	82	83	65	111
11	**Appeals (Initial and Final review)**				
	Funding Decision Appeals	374	474	577	437
	2006 Est. 470 Procedure Appeals	0	0	0	0
	FCC Form 486	97	107	117	72
	Block 4 Updates (non-appeal)	N/A	N/A	12	89
	COMAD Appeals	138	51	180	149
	FCC Remands	482	52	661	289
	Invoicing Appeals	225	128	105	139
	Out of Window Appeals	83	84	104	129
	Pre-commitment Appeals	71	8	8	27
	Red Light Rule Appeals	13	2	3	5
	RIDF Appeals	8	51	28	49
	Selective Review Appeals	29	24	71	9
	Self Identified Appeals	49	22	84	111
	SPIN Change Appeals	0	5	7	6
	SRC SPIN Change (Non-appeal)	--	89	102	74
	Window Waiver Appeals	83	76	56	73
	Total	**1,746**	**1,173**	**2,115**	**1,658**
	Administrator's Appeals				
	Acknowledgement Letters	1,108	887	1,192	1,004

Item #	Process and/or Function	Volumes for Calendar Year 2008	Volumes for Calendar Year 2009	Volumes for Calendar Year 2010	Volumes for Calendar Year 2011
11 cont' d	FCC Appeal Referral Letters	10	5	8	8
	Administrator's Decision Letters	1,375	1,178	1,429	1,528

Table B: Form Counts

Calendar Year 2008

Form	Total Forms (a)	Forms Filed Online with Paper Certification (b)	Forms Filed Online with Online Certification (c)	Forms Filed on Paper with Paper Certification (d)	Forms Submitted with Electronic Flat File (e)
FCC Form 470	32,982	12,033	20,603	346	N/A
FCC Form 471	45,767	13,506	31,478	783	N/A
FCC Form 472	65,903	N/A	36,866	29,037	N/A
FCC Form 473	4,647	N/A	N/A	4,647	N/A
FCC Form 474	54,891	N/A	45,001	1,601	8,289
FCC Form 486	32,203	6,178	23,759	2,266	N/A
FCC Form 500	4,297	N/A	N/A	4,297	N/A

Calendar Year 2009

Form	Total Forms (a)	Forms Filed Online with Paper Certification (b)	Forms Filed Online with Online Certification (c)	Forms Filed on Paper with Paper Certification (d)	Forms Submitted with Electronic Flat File (e)
FCC Form 470	35,405	12,503	22,554	348	N/A
FCC Form 471	46,054	12,522	32,605	927	N/A
FCC Form 472	65,623	N/A	41,124	24,499	N/A
FCC Form 473	5,027	N/A	N/A	5,027	N/A
FCC Form 474	56,944	N/A	46,177	1,546	9,221
FCC Form 486	32,527	5,716	24,915	1,896	N/A
FCC Form 500	3,629	N/A	N/A	3,629	N/A

N/A = Submission not available in this format.

Calendar Year 2010

Form	Total Forms (a)	Forms Filed Online with Paper Certification (b)	Forms Filed Online with Online Certification (c)	Forms Filed on Paper with Paper Certification (d)	Forms Submitted with Electronic Flat File (e)
FCC Form 470	29,196	10,211	18,708	277	N/A
FCC Form 471	42,337	10,798	30,780	759	N/A
FCC Form 472	69,462	N/A	46,156	23,306	N/A
FCC Form 473	5,099	N/A	N/A	5,099	N/A
FCC Form 474	79,050	N/A	62,363	1,451	15,236
FCC Form 486	37,963	6,164	29,888	1,911	N/A
FCC Form 500	4,126	N/A	N/A	4,126	N/A

Calendar Year 2011

Form	Total Forms (a)	Forms Filed Online with Paper Certification (b)	Forms Filed Online with Online Certification (c)	Forms Filed on Paper with Paper Certification (d)	Forms Submitted with Electronic Flat File (e)
FCC Form 470	39,111	14,038	24,860	213	N/A
FCC Form 471	49,122	12,174	35,980	968	N/A
FCC Form 472	71,482	N/A	49,424	22,058	N/A
FCC Form 473	5,183	N/A	N/A	5,183	N/A
FCC Form 474	81,609	N/A	63,865	1,287	16,456
FCC Form 486	35,849	5,863	28,296	1,690	N/A
FCC Form 500	5,160	N/A	N/A	5,160	N/A

Table C: Estimated Participant Numbers as of September 2012

Participant Type	Estimated Participant Entity Count	Repository Storage	
		Estimated Number of Documents per Participant Entity per FY	Estimated Number of Pages per Document per Participant Entity per FY
Schools and Libraries	26,000	30	15
Service Providers	4,000	26	15

Table D: Estimated Helpdesk Requests

Request Type	Estimated Annual Count by Calendar Year		
	2010	2011	(Jan 2012- Sep 2012)
Customer Request	50	75	83

Attachment 4

CURRENT SLP LETTERS

The table below lists SLP Notification Letters, and indicates the type of paper used for printing the letter and whether the letter is sent electronically via e-mail. For quality control purposes, some letters must be sent to a USAC dummy address for each batch while others must be sent once per year.

#	Form or Letter	White Paper	Color-ed Paper	Duplex Printing	3-Hole Punch Paper	Electro-nic	Dummy Copy to USAC First of New Year[1]	Dummy Copy to USAC Each Batch[2]	Archived
	SYSTEM GENERATED								
1	FCC Form 470 RNL – *Receipt Notification Letter- Applicant Only*		X	X	X		X		X
2	FCC Form 471 RAL – *Receipt Acknowledgement Letter - Applicant*		X	X	X		X		X
3	FCC Form 471 RAL – *Receipt Acknowledgement Letter - Service*		X	X	X	X	X		X

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[1] Defined as first letter of that type to be issued in a Funding Year (FY) or contract year.
[2] Defined as a letter in each run or batch of this letter type for each FY.

#	Form or Letter	White Paper	Colored Paper	Duplex Printing	3-Hole Punch Paper	Electronic	Dummy Copy to USAC First of New Year[1]	Dummy Copy to USAC Each Batch[2]	Archived
	Provider								
4	FCDL – *Funding Commitment Decision Letter – Applicant*		X	X	X		X	X	X
5	FCDL – *Funding Commitment Decision Letter – Service Provider*		X	X	X	X	X	X	X
6	RFCDL – *Revised Funding Commitment Decision* Letter – Applicant		X	X	X		X	X	X
7	RFCDL – *Revised Funding Commitment Decision Letter – Service Provider*		X	X	X	X	X	X	X
8	FCC Form 486 *Notification Letter - Applicant*		X	X	X		X	X	X
9	FCC Form 486 *Notification Letter - Service Provider*		X	X	X	X	X	X	X

#	Form or Letter	White Paper	Colored Paper	Duplex Printing	3-Hole Punch Paper	Electronic	Dummy Copy to USAC First of New Year[1]	Dummy Copy to USAC Each Batch[2]	Archived
10	FCC Form 486 and FCC Form 486 *Certification Rejection Letter-Applicant*		X	X	X		X		X
11	*FCC Form 486 and FCC Form 486 Certification Cancellation Letter – Applicant*		X	X	X		X		X
12	*FCC Form 486 and FCC Form 486 Certification Cancellation Letter – Service Provider*		X	X	X		X		X
13	FCC Form 472 *BEAR Notification Letter - Billed Entity Applicant Reimbursement Approval Letter – Service Provider*	X		X	X		X	X	X
14	FCC Form 472 *BEAR Notification Letter - Billed Entity Applicant Reimbursement Approval Letter –*	X		X	X		X	X	X

#	Form or Letter	White Paper	Color-ed Paper	Duplex Printing	3-Hole Punch Paper	Electro-nic	Dummy Copy to USAC First of New Year[1]	Dummy Copy to USAC Each Batch[2]	Archived
	Applicant								
15	Quarterly E-Rate Payment Authorization Report – *Applicant Only*	X					X	X	X
16	PIN Mailers – *Personal Identification Number – Applicant Only*	X					X	X	
17	FCC Form 471 *Post Marked after Window Close – Applicant Only*		X	X	X		X		X
18	FCC Form 471 Postmarked Outside of Window″		X	X	X		X		X
19	FCC Forms 500 *Notification Letter - Applicant*		X	X	X		X	X	X
20	FCC Forms 500 *Notification Letter - Service Provider*		X	X	X	X	X	X	X
21	Notification of Form 471 with No Certification		X	X	X				X
22	Form 486 Urgent Reminder Letter		X	X	X				X

#	Form or Letter	White Paper	Color-ed Paper	Duplex Printing	3-Hole Punch Paper	Electro-nic	Dummy Copy to USAC First of New Year[1]	Dummy Copy to USAC Each Batch[2]	Archived
23	Notification of Form 470 Posted but No Associated Form 471		X		X				X
24	Item 21 Attachment Urgent Reminder Letter		X		X				X
	MANUALLY GENERATED								
	Operations Group = Customer Contact Center								
25	Service Provider Invoice Return	X							
26	FCC Form *472 MPS Rejection Letter*	X					X		
	Operations Group = USAC								
27	Further Explanation of Administrator's Funding Decision Letter – operations group: USAC		X				X		
28	Audit Non-Compliance Letter – operations group: USAC	X				X			

#	Form or Letter	White Paper	Color-ed Paper	Duplex Printing	3-Hole Punch Paper	Electro-nic	Dummy Copy to USAC First of New Year[1]	Dummy Copy to USAC Each Batch[2]	Archived
29	HATS Visit Notification/ Scheduling letters – operations group: USAC	X				X			
	Operations Group = Appeals								
30	Administrator's Appeal Acknowledgement Letter	X					X		X
31	ADL – Administrator's Decision Letter	X					X		X
32	ADL OW – Out of Window Administrator's Decision Letter	X					X		X
33	ADL Window Waiver – Administrator's Decision Letter	X					X		X
34	Administrator's Decision on Invoice Appeals	X					X		X
35	Administrator's Decision on Invoice Deadline Extension Request	X					X		X

#	Form or Letter	White Paper	Color-ed Paper	Duplex Printing	3-Hole Punch Paper	Electro-nic	Dummy Copy to USAC First of New Year[1]	Dummy Copy to USAC Each Batch[2]	Archived
36	Administrator's Decision on FCC Remand								
37	Administrator's Decision on SPIN Change Request	X							X
38	Administrator's Notification of Reconsideration Letter	X							X
39	Administrator's Referral of Appeal to the FCC	X							
40	Administrator's Decision on Entity Removal/Entity Addition/Site ID Correction Request	X							X
41	Administrator's Decision on Entity Removal Request	X							X
42	Administrator's Decision on Site Identifier Correction Request	X							X
43	Administrator's Decision on Dunning Appeal	X							X

#	Form or Letter	White Paper	Color-ed Paper	Duplex Printing	3-Hole Punch Paper	Electro-nic	Dummy Copy to USAC First of New Year[1]	Dummy Copy to USAC Each Batch[2]	Archived
44	Administrator's Decision on Good Samaritan Appeal	X							X
	Operations Group = COMAD								
45	COMAD CAL – Notification of Commitment Adjustment Letter	X					X		
46	COMAD DPL – Commitment Adjustment Demand Payment Letter	X					X		
47	COMAD DPL – Commitment Adjustment 2nd Demand Payment Letter	X							
48	COMAD DPL – Commitment Adjustment Final Demand Payment Letter	X							
49	Pre 4th Order COMAD DPL – Commitment Adjustment Demand Payment Letter	X							

#	Form or Letter	White Paper	Color-ed Paper	Duplex Printing	3-Hole Punch Paper	Electro-nic	Dummy Copy to USAC First of New Year[1]	Dummy Copy to USAC Each Batch[2]	Archived
50	COMAD - Recovery Paid in Full Acknowledgement	X					X		
51	RIDF CAL - Reimbursement of Improperly Disbursed Funds Commitment Adjustment Letter	X					X		
52	RIDF DPL - Reimbursement of Improperly Disbursed Funds Demand Payment Letter	X					X		
53	RIDF DPL - Reimbursement of Improperly Disbursed Funds 2nd Demand Payment Letter	X							
54	RIDF DPL - Reimbursement of Improperly Disbursed Funds Final Demand Payment Letter	X							
55	Red Light Notice of Withholding of Action	X					X		

#	Form or Letter	White Paper	Color-ed Paper	Duplex Printing	3-Hole Punch Paper	Electro-nic	Dummy Copy to USAC First of New Year[1]	Dummy Copy to USAC Each Batch[2]	Archived
56	Red Light Notice of Dismissal	X					X		
57	Red Light Withdrawal of Notice of Withholding of Action	X							
58	Red Light Withdrawal of Notice of Dismissal	X							
59	SCHOOLS AND LIBRARIES DIVISION - CAL / DPL / RIDF - <u>Second Delivery Attempt</u>	X							
60	Commitment Adjustment Recovery Referral to the Federal Communications Commission	X							
	Operations Group = Invoicing								
61	Administrator's Decision on Invoice Deadline Extension Request approval/dismissal/denial letter	X					X		

#	Form or Letter	White Paper	Color-ed Paper	Duplex Printing	3-Hole Punch Paper	Electro-nic	Dummy Copy to USAC First of New Year[1]	Dummy Copy to USAC Each Batch[2]	Archived
62	Administrator's Decision on Implementation Extension Request approval/dismissal/denial letter	X					X		
	Operations Group = Dunning and Good Samaritan								
63	Administrator's Decision on Good Samaritan Request (applicant and service provider) / dismissal / denial letter	X					X		
64	Good Samaritan Request Approval Letter	X							
65	Good Samaritan – Service Provider Notification	X							
66	Special Good Samaritan Form 472-Billed Entity Applicant Reimbursement Approval	X					X		

#	Form or Letter	White Paper	Color-ed Paper	Duplex Printing	3-Hole Punch Paper	Electro-nic	Dummy Copy to USAC First of New Year[1]	Dummy Copy to USAC Each Batch[2]	Archived
67	Dunning Letter	X					X		
68	Administrator's Decision on Dunning Request denial/dismissal letter	X							
	Operations Group = Service Substitution								
69	Service Substitution approval/denial Letter	X					X		
70	Service Provider initiated Service Substitution approval/denial Letter	X					X		
71	Eligible Products Database submission	X					X		
	Operations Group = Client Operations								
72	FCDL Re-Mail Advisory – Returned Funding Commitment Decision Letter	X					X		
73	Service Substitution MPS ADL	X							

#	Form or Letter	White Paper	Color-ed Paper	Duplex Printing	3-Hole Punch Paper	Electro-nic	Dummy Copy to USAC First of New Year[1]	Dummy Copy to USAC Each Batch[2]	Archived
74	Equipment Transfer ADL	X							
75	SPIN Change ADL					X			
76	SPIN Change Approval Notifications					X			
77	Completed Form 471 Block Change					X			
78	Incomplete Form 471 Block Change					X			
79	RAL cannot be processed because the commitment process is complete					X			
80	Form 486 contact change: cannot complete notification					X			
81	Service Provider bulk SPIN Change completion notification					X			
82	SPIN change dismissal email					X			

#	Form or Letter	White Paper	Color-ed Paper	Duplex Printing	3-Hole Punch Paper	Electro-nic	Dummy Copy to USAC First of New Year[1]	Dummy Copy to USAC Each Batch[2]	Archived
83	RNL Change Completed ADL					X			
84	RNL change request denied					X			
85	SPLIT request denied/dismissal					X			
86	Administrator's Decision on Service Substitution Request Dismissed Letter					X			
	Occasional letters / Prior Year Letters								
87	Letter to the Field					X			
88	Reminder Letter	X					X		
89	Administrator's Decision on Waiver Request	X					X		
90	471 No Cert	X					X		
91	471 Rejection Nullification Letter	X					X		

#	Form or Letter	White Paper	Color-ed Paper	Duplex Printing	3-Hole Punch Paper	Electro-nic	Dummy Copy to USAC First of New Year[1]	Dummy Copy to USAC Each Batch[2]	Archived
92	FCCRN Letter (advised of FCCRN/password assigned by FCC for bulk downloads)	X					N/A	N/A	
93	FCC Form 486 Warning		X				X		
94	Status of Funding Year YYYY for FCC Form 471 Application Number(s)					X			
95	FY End Letters		X	X					X

Attachment 5

CURRENT SLP PAPER FORMS PROCESSING

A. SLP DATA ENTRY & SCANNING

Some stakeholders choose to submit SLP forms via paper forms. The information on paper SLP forms must be manually entered and scanned. Additionally, some stakeholders choose to submit SLP forms electronically but provide their certification of the form via paper. Applicants may also submit paper documents and correspondence that must be scanned for storage in CRMS. Data entry of forms, processing of paper certifications, and document scanning and bar coding as described below. Workload for these functions is listed in Attachment 3.

Although it is necessary to maintain separate process steps for different form types, the fundamental process for tracking and processing the forms is the same. Document control, correspondence, data entry, problem resolution, and quality assurance functions are performed consistent with the applicable procedures.

A single mail post office box is utilized to receive most physical mail associated with the SLP. Mail may also be received through a delivery service or delivered directly by the submitter. A means of easy identification and tracking of incoming mail is provided as a part of a comprehensive document tracking system.

A.1.A.1.a. Data Entry and Verification

A.1.A.1.a.1. Data Entry

Data entry of paper-submitted forms is required to be performed, accurately and on a timely basis, into the appropriate database. Data shall be validated consistent with the data validations incorporated into the electronic form submission process. If successful data validation does not occur, the form shall be sent for Problem Resolution (PR) consistent with approved procedures for each form or certification.

A.1.A.1.a.2. Data Verification

Operations personnel ensure the accuracy of data entry consistent with the applicable procedures.

A.1.A.1.b. Document Scanning

All paper documents received, including attachments, are scanned, tagged, and indexed for retention in the document management system within CRMS. Documents are named in conformance with USAC-approved naming conventions. The scanned image quality must be sufficient for operations personnel to read on a computer screen during application review. Envelopes with postmark stamps must also be scanned to determine the date a form or correspondence was mailed or delivered.

A.1.A.1.b.1. Document Archive

After a form or document has been scanned, it will be archived consistent with the applicable procedure. All FCC Forms submitted on paper and any attachments thereto are retained on a permanent basis. These forms and attachments are filed in boxes and moved to a secure and climate controlled facility. Using the box, batch, and form reports, any document must be able to be retrieved from the facility within one business day of a request. Other paper documents submitted are scanned and the paper copies retained for a limited period of time. All electronic FCC forms and attachments thereto are retained on a permanent basis. All electronic records related to any decision of the Administrator are retained on a permanent basis.

A.1.A.1.b.2.   *Document Retention*

The Contractor shall retain all documents and records, regardless of the media, consistent with document retention guidelines established by USAC.

A.1.A.1.c.   **Problem Resolution (PR)**

During the data entry process, FCC forms that trigger edits which prevent successful entry of the form data will go through the PR process. The PR process generally requires a CSR to contact the form submitter to provide corrections to the PR issue(s) so the form data can be successfully submitted. In limited situations, procedures allow corrections or notations without live contact. CSRs shall perform the PR contacts. Upon successful resolution of the PR issues(s) or "reasons," the form and PR activities shall be subjected to a QA process to verify the data entered and compliance with PR processes and procedures consistent with applicable procedures.

A.1.A.1.c.1.   *PR FCC Forms*

FCC Forms 470, FCC Forms 470 Certification, FCC Forms 471, FCC Forms 471 Certification, FCC Forms 486, FCC Forms 486 Certification, FCC Forms 500, FCC Forms 472, FCC Forms 474, and FCC Forms 473, shall go through the PR process consistent with applicable procedures.

A.1.A.1.c.2.   *Invoice Line Item Edits*

The invoice line-item edits that are processed by PR are also included in the Customer Contact and Data Entry function.

A.1.A.1.c.3.   *15-Day Process*

The 15-day process is used to request corrections for PR and MPS reasons consistent with applicable procedures.

A.1.A.1.c.4.   *PR Documentation*

Additional information from applicants is obtained consistent with applicable procedures. All contact attempts and any changes made to the form shall be recorded and explained in the documentation that is logged in CRMS and with the electronic form image consistent with applicable procedures.

A.1.A.1.d.   **Demand Projection – Data Entry of Certain FCC Forms 471 Data Submitted on Paper Forms**

USAC submits a demand projection to the FCC as soon as possible after the close of the FCC Form 471 filing window. Prompt input of necessary data elements from the paper forms for the demand projection calculation is required.

Attachment 6

CURRENT SLP SYSTEMS

The following describes the current software, systems and databases used to support the SLP. Figure 1 provides the network connectivity diagram and Figure 2 provides the system integration diagram.

1.   Principal Databases

Oracle® Database

All form data submitted electronically by program participants or data entered by SLP operations personnel is stored in SLP's main operational database. The database is an Oracle®[1] database that currently handles approximately 20,000 transactions per day during peak cycles. In addition to form data, the database stores form review criteria and select contact information.

There are six (6) instances of the Oracle® database: development, test (QA), user acceptance testing (UAT), training, production, and disaster recovery.

MS SQL Server® for Siebel®

A SQL Server ® database is used to support a Siebel Call Center®. This database not only stores form data that is duplicated in the Oracle® database, but contains contact histories of applicants and service providers participating in the SLP.

There are three (3) instances of the SQL Server Siebel® database: user acceptance testing (UAT), production, and disaster recovery.

2.   Web Applications

Schools and Libraries Website

The SLP section of the USAC website is hosted and supported by USAC. USAC's web team hosts and maintains the usac.org front page, and the USAC SLP development team maintains the menu.asp front page: (http://www.sl.universalservice.org/menu.asp), including all applications that are accessed through this page.

Forms

The SLP involves several forms that program participants must complete at different stages of the application process. Five SLP forms offer electronic data submission options. Those forms' technical underpinnings are as follows:

- FCC Form 470, *Description of Services Requested and Certification*: This form may be completed either via an Active Server Page (ASP) interface or using an interview-like .NET interface. This form also incorporates electronic certification functionality via a PIN system, which negates the need for a handwritten signature.
- FCC Form 471, *Service Ordered and Certification*: As with the FCC Form 470, this form may be completed either via an ASP interface or using an interview-like .NET

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[1] Software version numbers have been omitted throughout this attachment.

interface. The FCC Form 471 also has an electronic certification option, upload capability, and nesting of blocks.

- FCC Form 486, *Receipt of Service Confirmation*: This form may be completed via an interview-like .NET interface, or using an 'expert' .NET interface. The form data is initially stored in a SQL Server® temporary holding database until the applicant submits the data. Upon form submission, the data is transferred to the Oracle database. Similar to the FCC Form 470 and FCC Form 471, applicants may certify their FCC Form 486 electronically using the same PIN system.
- FCC Form 474, *Service Provider Invoice Form (SPI)*: This form allows service providers to submit invoice data electronically via a comma delimited format using optional Pretty Good Privacy® (PGP) software. The file is then submitted as an email attachment. The form data may also be submitted using a .NET interface that captures the data typed into the form and submits the data to the Oracle® database.
- FCC Form 472, *Billed Entity Applicant Reimbursement Form (BEAR)*: This form is a .NET implementation that utilizes a USAC-hosted system for service provider authentication. Authenticated users are passed to the online BEAR application for form processing. The online BEAR form also has an electronic certification requirement that is separate and distinct from the one used for the other SL forms.

Applicants may only submit the FCC Form 500, *Adjustment to Funding Commitment and Modification to Receipt of Service Confirmation Form,* on paper. Service providers may only submit the FCC Form 473, *Service Provider Annual Certification Form,* on paper. These forms are subsequently data entered.

Electronic Certifications

Applicants who submit data electronically for their FCC Forms 470, FCC Forms 471, and/or FCC Forms 486 have the option of certifying the submitted data electronically. This online certification process is managed by a custom-built Personal Identification Number (PIN) system. The user enters their PIN using a web-based interface.

The PIN system performs the following functions:

- Generates PINs for eligible users
- E-mails PINs to users
- Allows users to request their PIN be changed
- Allows users to request their PIN be deactivated
- Allows users to request PIN be re-distributed to them
- Validates the PIN upon login to online forms
- Provides e-mail contact information
- Performs error logging
- Performs error handling

All PINs are stored on a separate PIN server and are encrypted. Currently, the PIN SQL Server ® database is 508 megabytes. The user interface consists of an ASP web-based application that captures PIN access data and verification/correction of the customer data.

The online BEAR electronic certification is accomplished using the above PIN system for applicants and the USAC hosted E-Cert system for service provider authentication. Service providers log into the E-Cert system using their e-mail address and password and, once

authenticated, is passed to the online BEAR application on a separate server. The electronic certification is performed by the service provider using the online BEAR application. USAC manages and maintains the USAC E-Cert system for authentication.

Web Tools

SLP applicants and service providers may access a suite of search tools which are web based applications that provide an interface to various underlying SLP data sources. The SLP search tools, which are available from the SLP home page (http://www.usac.org/sl/) are hosted and supported by USAC.

3. Data Entry and Automated Data Capture System

Depending on the type of form, several different methods are used for data entry of paper forms and certifications.

- Paper copies of FCC Forms 470, FCC Forms 471, FCC Forms 473, FCC Forms 486 Certifications and FCC Forms 500 are scanned into the document repository in Siebel CRM System® and are data entered using a web-based form interface.
- Paper copies of FCC Forms 470 and FCC Forms 471 Certifications, and FCC Forms 486 are scanned into a custom-developed Automated Data Capture (ADC) system provided by the operations vendor prior to data entry using a custom-developed double-key data entry system.
- Paper copies of FCC Forms 472 and FCC Forms 474 are scanned into the document repository in Siebel CRM System® and are entered using a custom-developed double-key data entry system.

The keyed data is first stored in an MS SQL Server® database that also incorporates bar coding for tracking functionality. Once the keyed data is verified, a Microsoft Message Queue® (MSMQ) process transfers it from the MS SQL Server® database to the Oracle® database. This process utilizes a data-matching program that constantly monitors for, or "listens" for, incoming data. If the data-matching program is listening, it accepts the MS SQL Server® data and updates the database almost immediately. If the listener is off or another condition prevents an update, the process will queue the data until the database is ready.

NOTE: The ADC or double-key data entry systems are provided by the SLP operations vendor.

4. Siebel CRM System®

The SLP operates a 369-seat installation of Siebel Call Center 7.5. The web-based Siebel system stores all correspondence and correspondence related information, including scanned images of all forms, call tracking data, images or electronic files of documentation, and incoming/outgoing messages and correspondence. The Siebel CRM System® synchronizes with the Oracle® database via a Vitria BusinessWare® middleware application. The SLP also operates a 10-seat installation of E-mail Response, a Siebel® Call Center add-on that provides users with a web form to allow them to send structured e-mail inquiries.

5. Application, Invoice and Appeals Review Systems

5.1 ASP-Based Systems

Once the applicant certifies an FCC Form 471 dataset, the form is considered ready for review. The SLP uses a custom, review workflow system (STARS) with an ASP interface to perform the FCC Form 471 review. The review workflow uses data from the Oracle database, provides the following functionality:

- Validates compliance with FCC defined business rules.
- Stores data-entered review notes.
- Manages workflow by assigning batches of applications to a reviewer and routes those applications upon the completion of the application review.

A similar system reviews invoices sent to SLP by service providers. The system provides SLP the same functionality as described above for FCC Form 471 review system but for invoice processing, and uses the same architecture.

A third system is a review system for appeals. The appeals system architecture is similar to invoicing, FCC Form 471 review system as its foundation.

Three ASP-based systems are used to perform additional review functions. One is used to perform Children's Internet Protection Act (CIPA) compliance reviews, and the other two are used to review and applicant's compliance with the technology plan approval requirements (TPA) and Commitment Adjustment System (COMAD.) All three systems use data from the Oracle database.

5.2 Microsoft Access® Based Applications

Prior to the development of the current review systems, several Microsoft Access® applications were developed to provide applications review support. Currently any remands pertaining to the funding years 1998-2001 are still being reviewed using the Microsoft Access® applications.

In addition, three Microsoft Access® applications are currently being used to perform additional invoice related review functions and they are the following:

- Deadline Extension - Used to preform both Invoice and Service Extension request reviews.
- Dunning and Good Samaritan - Used to perform Dunning and Good Samaritan reviews.
- Bankruptcy – Used to perform Bankruptcy reviews.

All three Microsoft Access® applications use data from the Oracle® database.

6. Electronic Invoicing

SLP offers service providers the option of sending invoice data electronically through a data feed mechanism employing the Pretty Good Privacy (PGP) encryption protocol. Service providers send the SLP a comma delimited flat file using PGP. The file is parsed and validated using a custom validation script. If there are invalid values, an error report is automatically generated and e-mailed to the service provider. If all values are valid, the data is imported into the Oracle database and goes through the normal validation procedures for newly entered invoicing data.

7.   Other Support Systems

Many desktop applications (i.e., Microsoft Access®, Excel® and Word®) are currently used to support the SLP. Microsoft Word® macros are used to help reviewers generate customer contact documents, excel spreadsheets are used for tracking and data analysis, and Microsoft Access® databases are used to help identify, process and track applications through specific review functions. Some Microsoft Access® databases are complex Microsoft Access® applications developed over a number of years that provide support for a process. In other instances, a spreadsheet is used to track discrete, manual review functions, such as service substitutions. These numerous (over 500 (213 are active)), small, self-contained desktop tools are distinct from the enterprise systems.

8.   Letter Generation

All SLP form letters are created via UNIX® letter generation jobs that run against the Oracle® database. The jobs automatically extract appropriate data from the Oracle database, merge it with a form letter boilerplate and create a flat file containing the full text of each letter. The flat file is transferred to a remote site using the FTP protocol. Hard copy letters are then printed and mailed. On occasion, it is necessary for SLP operations personnel to recreate these letters. When necessary, the SLP operations personnel uses a Windows-based COTS application called Aperture 1 to recreate them.

The SLP also gives service providers the option of receiving certain letters electronically via email. These letters are generated automatically via UNIX® command files that extract data from the Oracle® database, merge it with the form letter boilerplate, stores it as a delimited data file, and sends the e-mail. These electronic letters include: Funding Commitment Decision Letter for Service Providers, Revised Funding Commitment Decision Letter for Service Providers, FCC Form 500 Letter for Service Providers, FCC Form 471 Receipt Acknowledgement Letter for Service Providers and the FCC Form 486 Letter for Service Providers.

9.   Document Scanning

All paper forms and related documentation received by mail and processed by the mail receipt function are scanned and stored in TIFF format. After scanning, each electronic document image is attached to the relevant Siebel database record. Documents are manually scanned and indexed. Approximately 8,500 multi-page documents are scanned annually. All documents stored in Siebel are searched and retrieved using the Siebel user interface.

In addition to documents scanned and stored in Siebel, SLP staff occasionally references a group of older documents that are archived in a LaserFiche ® repository. All images are stored in TIFF format and are searched and retrieved using the LaserFiche® user interface. The size of the image repository is approximately 50 gigabytes.

10.   Interactive Voice Response Unit

The SLP Call Center uses an Interactive Voice Response Unit. It runs Intervoice IVR application software, specifically Intervoice Media Telephony Core Server and Intervoice Enterprise Integration Software. It is currently set to handle up to 24 simultaneous calls. The IVR is provided by the SLP operations vendor.

11. Data Entry Workflow Tool

SLP data entry personnel use a custom application to track the paper forms, correspondence and other submissions that come into the processing center. The workflow tool has the following capabilities:

- Logs and tracks forms by internally assigned number.
- Provides flexible reporting capabilities.
- Supports work flow for assignment and prioritization.

12. Data Retrieval/Reporting

Data is extracted for reporting and/or management purposes via several methods:

- .Net interface data retrieval screens that pull data from the Oracle database.
- Ad-hoc queries built in Microsoft Access® that connect to the Oracle database via an ODBC connection.
- Queries that run against the reporting database - an extract of the production Oracle database maintained by USAC.

Figure 1: SLP Network Connectivity
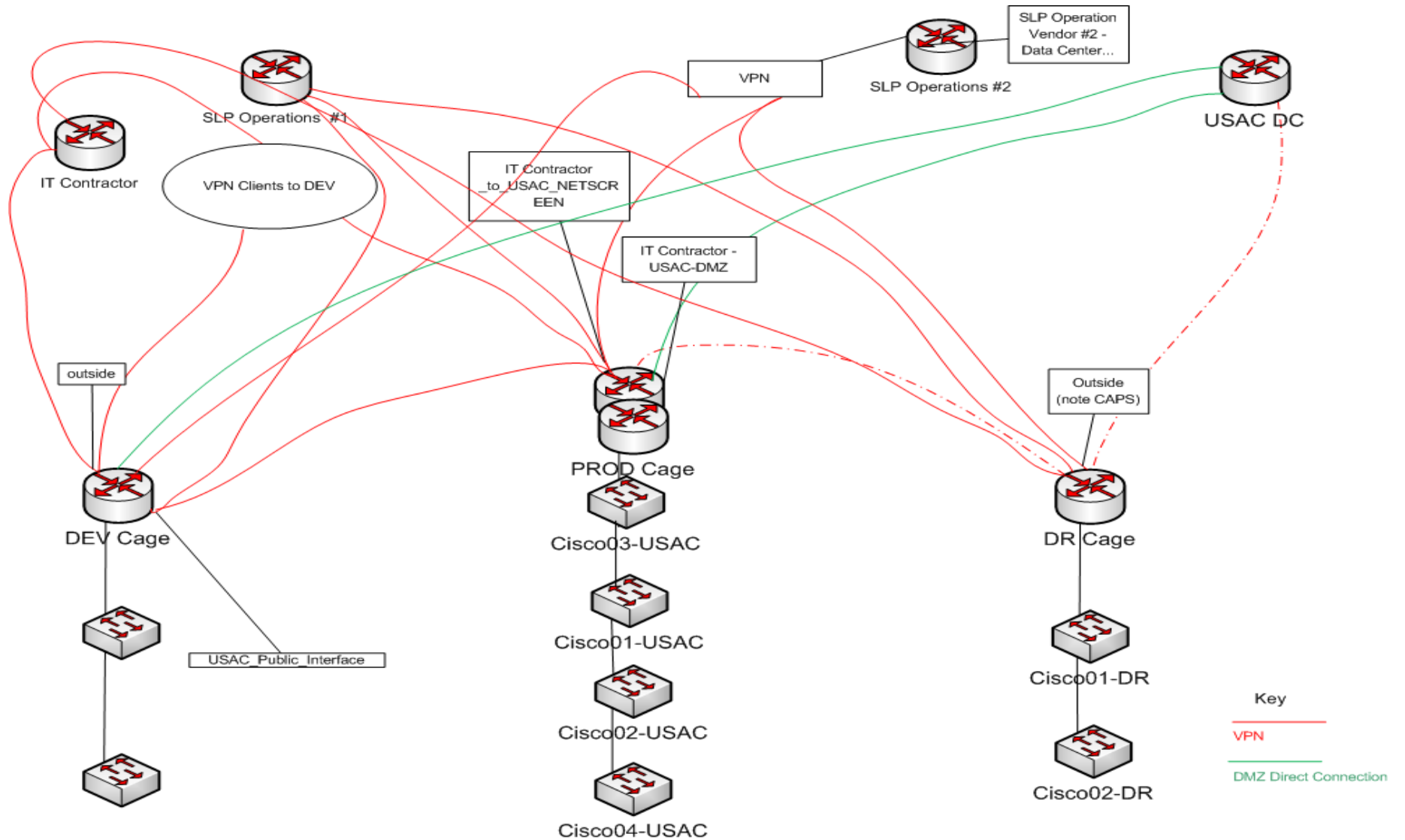
*Version numbers and IP addresses have been omitted.

Figure 2: SLP System Integration Diagram
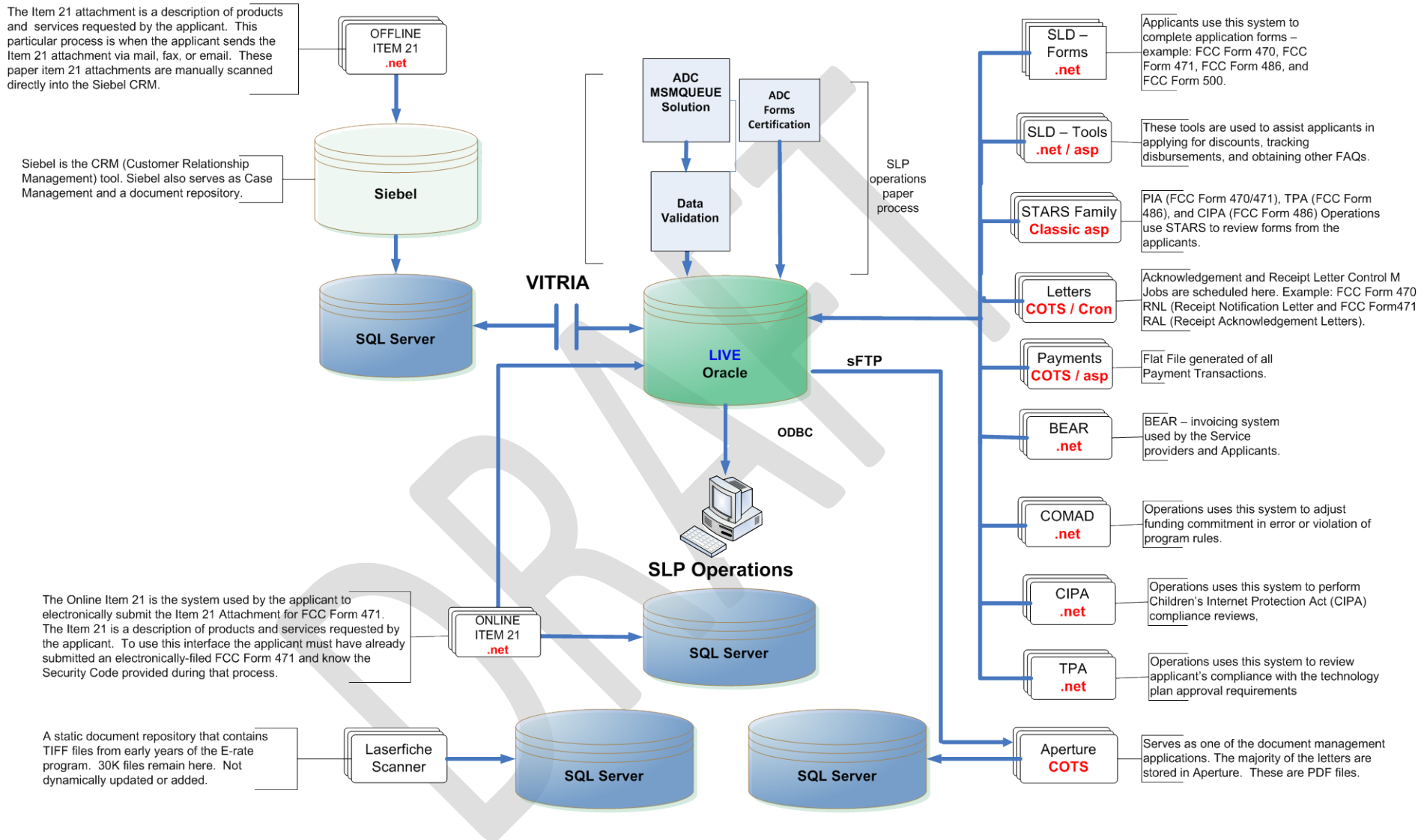
*Version numbers and IP addresses have been omitted.

USAC Enterprise Tool Profile

Enterprise Content Management

SharePoint© 2010
Collaboration, Document Mgmt, Basic Workflow, Taxonomy Mgmt, Security, Search

[TBD]
Enterprise Business Workflow, Forms

Documentum© 6.5
Records Management

[TBD] Imaging	[TBD] Archiving

CRM
[TBD]

Business Rules
[TBD]

Web Services
SOAP/REST

Enterprise Service Bus
BizTalk© 2010

Query & Reporting
Microsoft© SSRS

RDBMS
Oracle© 11g	Microsoft© SQL Server 2012

Master Data Mgmt
Microsoft© MDS 2012
SQL Server 2012

Data Warehouse, Datamart, BI
Microsoft © Stack

Communications
Microsoft© Lync 2010

Email/PIM
Microsoft© Exchange 2010

Security (Information to be supplied upon contract award)

Data Center Hardware
HP© DL Servers, EMC© VNX SAN, CISCO©

Data Center System Software
VMware© ESXi, Red Hat© Linux, Apache© Server, Windows© Server

Data Center Mgmt
Orion©, HP© iLO
VMware© vCenter

Disaster Recovery
EMC© RecoverPoint
VMware© Site Recovery

Application Frameworks
J2EE	Microsoft© .NET

IDEs
JBOSS Dev Studio	Visual Studio 2010
SharePoint Designer	Eclipse

Application Lifecycle Management
| Jira + Greenhopper + Fisheye + Crucible + Bamboo + Cucumber + Confluence | Team Foundation Server 2010 |
| | Serena Business Manager 2009 r4.01 |

IT Service Management
IT Service Management (N/A) : O&M is required by the vendor only for a limited period. Transition to USAC within three months after acceptance of that phase.

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